

# **Promoting Democratic Values and Practices:**

## **A Cross-Cutting Approach to Democracy and Gender**

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# Promoting Democratic Values and Practices: A Cross-Cutting Approach to Democracy and Gender

by

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Development Alternatives, Inc.

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## LIST OF ACRONYMS

ADP	Alternative Development Program
ADR	Alternative Dispute Resolution
AMRESAM	Association of Municipalities of San Martin
AMUVERAE	Association of Municipalities of the Amurimac Valley
ARI	Andean Regional Initiative
BIOFOR	Biodiversity and Fragile Ecosystems Conservation Management
BSP	Biodiversity Support Project
CAR	Regional Environmental Committees
CBNRM	Community-Based Natural Resource Management
CBO	Community-Based Organizations
CEPCOM	Clean and Efficient Production Component
CEPES	Peruvian Center of Social Studies
CONAM	National Environmental Council
CSO	Civil Society Organization
CSP	County Strategic Plan
DCHA/DG	Bureau for Democracy, Conflict and Humanitarian Assistance
DG	Democracy and Governance
DIGESA	Office of Environmental Health
EDGE	Environment, Democracy and Government Exchange
EH	Environmental Health
ENV	Environment Sector
G/DG	Global Bureau, Democracy and Governance Center
G/ENV	Global Bureau, Environment Center
DCHA/DG	Bureau for Democracy, Conflict and Humanitarian Assistance, Democracy and Governance Center
GOLD	Philippines Governance and Local Democracy Project
GPA	Gender Plan of Action
HCD	Human Capacity Development
ICMA	International City and Country Managers Association
IDEA	Increased Environmental Demand and Awareness
INADE	National Development Institute
INRENA	National Institute of Natural Resources
IRG	International Resource Group
LAC	Latin America and the Caribbean
LEA	Licit Economic Activities
LG	Local Government
LGIP	Local Government Infrastructure and Participation
MINSA	Ministry of Health
MITINCI	Ministry of Industry, Tourism, and International Commerce and Integration
MOE	Ministry of Energy
MOH	Ministry of Health
NGO	Nongovernmental Organization

NRM	Natural Resource Management
OACA	Office of Environmental Assessment and Consulting
PDP	Project Development and Planning
PMP	Performance Monitoring Plan
POA	Annual Operation Plan
PPC/CDIE	Bureau for Policy and Program Coordination, Center for Development Information and Evaluation
RUDO	Regional Urban Development Office
SD	Sustainable Development Office
SENERM	Sustainable Environmental and Natural Resource Management
SISEM	Strengthened Integrated System for Environmental Management
SNA	National Environmental Society
SO	Strategic Objective
SO1	Strategic Objective 1
SO4	Strategic Objective 4
SP05	Special Objective 5
SPDA	Peruvian Society of Environmental Law
TOR	Terms of Reference
UNDCP	United Nations Drug Control Program
USAID	United States Agency for International Development
WIDTECH	Women in Development Technical Assistance Project

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## 1. INTRODUCTION

USAID's new five-year Country Strategic Plan, approved in February 2001, works toward a cross-sectoral Mission Goal "to promote the expansion of sustainable opportunities for improved quality of life of Peruvians through democratic institutions and processes." To accomplish this goal, all Strategic Objective programs promote democratic institutions and processes in their activities. The challenge for the Mission is not so much to initiate democratic initiatives in each sector, as most programs seem to have such initiatives in process. Rather the challenge will be to achieve the greatest possible synergy among programs in order to produce the greatest positive impact. In meeting this challenge, the Mission increases the potential to significantly boost overall impact of program investments across Strategic Objectives.

In October, 2001, the SO#4 and SpO#5 Teams began a process of identifying exactly how their revised five-year strategies will be implemented. The SO Teams began the development of performance and achievement indicators at all levels, as well as mechanisms for achievement of intermediate results. Existing mechanisms continue to be assessed, extended and/or revised, and new ones designed, as appropriate. Within this context, USAID/Peru requested technical assistance: (1) as the SO# 4 and SpO#5 Teams documented their contributions to date to the Mission's overarching goal, including a gender perspective, and operationalized their strategies to support this goal over the next five years; and (2) as the Mission's Democracy Working Group works toward further development of a cross-program framework of linking these and other SO programs with the Mission Democracy Goal.

### 1.1. ASSESSMENT TASKS AND APPROACH

In order to operationalize the new Mission Goal, USAID Peru requested technical assistance from WIDTECH to carry out the following specific tasks:

- Document democratic and gender related contributions of Strategic Objective 4 "Strengthened Environmental Management to Address Priority Problems" (SO4) to the overarching Mission Goal, and provide recommendations for strengthening linkages;
- Document democratic and gender related contributions of Special Objective 5 "Sustained Reduction of Illicit Drug Crops in Target Areas of Peru" (SpO5) to the overarching Mission Goal, and provide recommendations for strengthening linkages; and
- Facilitate the clarification of the concept and dimensions of "democracy" within the USAID/Peru Strategy under the guidance of the Strategic Objective 1 Team, whose objective is the same as that of the overall Mission goal—i.e., "to promote the expansion of sustainable opportunities for improved quality of life of Peruvians through democratic institutions and processes."

To accomplish this assessment, the consultant collected and reviewed data from:

- Research on democracy cross-sectoral linkages;
- Interviews with relevant SO Team members and Partners from SO4 and SpO5;
- Interviews with all SO Team Leaders; and
- USAID planning and project documents.

While most of the data was collected in Peru, additional interviews and follow-up exchanges were accomplished in Washington. (See Annexes B and C.)

As requested in the scope-of-work for this assignment, the following discussion will, first, in Section 1.2 provide further clarification of the definition of “democracy” as it refers to Mission programs will help to orient the subsequent elaboration of the existing Synergy Matrix, and highlight areas to consider priorities for achievement of the Democracy Goal. Next, in Section 1.3 a summary of recent research on democracy and cross-sectoral linkages will present a context for interpreting the case studies to follow. After the examination in Section 2 of the SO4 and Sp5 case studies for democracy impacts, in Section 3 we will suggest a format and approach for better linking all Mission SOs with the Democracy Goal.

## **1.2. THE CONCEPT OF DEMOCRACY IN USAID PERU’S STRATEGY**

Before launching into the case studies, it will be import to establish a clear understanding of the concept of democracy itself, along with the various dimensions therein, as outlined in the Mission Synergy Matrix below (see Table 1). Cross-sectoral agreement on the concept of “democracy” is obviously fundamental to a clearly developed synergy matrix, as is agreement on its component terms. The Mission has already made significant progress in establishing a cross-sectoral definition of democracy:

*The general concept of “democracy” that pervades the strategy includes a number of dimensions: (1) empowering individuals (especially the least empowered groups, such as the poor, women, ethnic minorities, etc.) to take greater control of their lives; (2) assuring the rights of individuals to partake in the benefits of economic and political development; (3) creating opportunities to participate in and influence the communities and institutions that affect them; and (4) providing access to social services (education, health, nutrition, protection, safe environment, etc.) that respond to their needs and desires. At the level of local communities, our concept of “democracy” includes: (1) decentralized public services that permit a large degree of local community control and management; and (2) improved local organizations that permit communities to mobilize their own resources and control their own development (USAID/Peru June 30, 2001a:11).*

The results of sectoral programs are interwoven throughout this definition and are almost impossible to separate. For USAID/Peru customers, individual “empowerment” may result from education, training, and increased incomes, and is closely related to assuring human rights and participation in society. “Assuring the rights of individuals” may follow from work

with legislative strengthening, judicial reform, and access to justice—all aspects of rule of law—or advocacy groups, that embody political participation and may also work to ensure human rights or affect the larger domain of rule of law. The creation of opportunities to participate and influence communities and institutions ensues from working not only on local governance, but also specialized interventions across the sectors at both local and national levels. And “access to social services . . . that respond to their needs,” pertains to many different sectoral objective programs. The effectiveness of program investments may depend, ultimately, on the responsiveness and accountability of the government to all its citizens, including marginalized populations (for example, women, ethnic groups, and the poor).

This definition is both holistic and relatively concise. However, for programming and measurement purposes it is useful to identify the individual characteristics or components of such a complex goal. The Mission has already generated an initial, skeleton framework—i.e., a synergies matrix—for this very purpose. The matrix describes which dimensions and cross-cutting themes are addressed by each SO Team:<sup>1</sup>

**Table 1 : Synergies Matrix (USAID/Peru CSP, 2001)**

<b>Dimensions Democracy</b>	<b>SO1</b>	<b>SO2</b>	<b>SO3</b>	<b>SO4</b>	<b>SpO5</b>	<b>SpO6</b>	<b>SpO7</b>
Respect for Human rights	•		•			•	•
Citizen Participation	•	•	•	•	•	•	•
Local governance	•	•			•		•
Accountability	•	•	•	•	•	•	•
Decentralization	•	•	•	•	•	•	•
Rule of Law	•						
Transparency/Information	•	•	•	•	•	•	•
Advocacy	•	•	•	•			
<b>Cross-cutting themes</b>							
Equity/Inclusion and Gender	•	•	•	•	•	•	•
Human Capacity Development	•	•	•			•	•
Environmental Stewardship		•		•	•		•

These dimensions are, in a sense, lower level results that affect the larger experience of democracy in the country. Cross-cutting these results are efforts to include and establish equity for marginalized groups—i.e., with attention to gender, ethnic and class issues, build human capital and develop and sustain environmental stewardship, which tend to span these dimensions.

As the following case studies will reveal, Mission SO Teams do not yet share a common understanding of each of these terms, nor do all members necessarily agree on how their own SO program has been designated on this chart. Nevertheless, after presenting the following

<sup>1</sup> Strategic Objective #1: Democratic Processes and Institutions Strengthened in Critical Areas  
 Strategic Objective #2: Increased Economic Opportunities for the Poor in Selected Economic Corridors  
 Strategic Objective #3: Improved Health for Peruvians at High Risk  
 Strategic Objective #4: Strengthened Environmental Management to Address Priority Problems  
 Special Objective #5: Sustained Reduction of Illicit Drug Crops in Target Areas of Peru  
 Special Objective #6: Expanded Opportunities for Girls' Quality Basic Education in Targeted Rural Areas  
 Special Objective #7: Improved Quality of Life of Peruvians along the Peru-Ecuador Border Target Areas

Careful examination of how USAID units have approached these issues, then moving on to analyze the case studies for SO4 and SpO5 in detail, we will return to this matrix with a format and plan to finalize a more detailed version with the possibility to better facilitate democracy linkages in all Mission program sectors.

### **1.3. BACKGROUND: RESEARCH FINDINGS ON DEMOCRACY AND DEVELOPMENT LINKAGES**

Several important research initiatives have recently taken place in USAID to better understand the linkages between DG and other development sectors. This research reflects, to a significant extent, an increasing realization that people participate in democratic institutions and processes primarily for other sectoral reasons (that is, in order to gain access to resources or increase their incomes, to improve family health, to address environmental issues, to better educate their children, etc.) Thus, linking DG programming to other sectoral results can improve DG results. At the same time, DG approaches also can be used as an effective means to accomplish other sectoral ends. Additional research shows that including a gender perspective throughout the program cycle can both provide a locus for sector linkages and strengthen activity results overall. The author reviewed these research reports and interviewed several of the researchers to identify those findings most relevant to Peru.

#### **Linking Democracy and Development**

Hal Lippman, PPC/CDIE, recently completed a study of linkages between DG and USAID's other strategic goals (Lippman 2001). Findings showcase local government as the natural focal point for cross-sectoral linkages in USAID programming; working through local government was shown to increase the participation of stakeholders from a variety of other sectors. For example, activities of the USAID/Philippines Government and Local Democracy (GOLD) project successfully supported democratic local governments, and in the process it also boosted the performance of activities related to local management of coastal, forest and other natural resources. As part of this collaborative venture, GOLD staff:

*used its "technology of partnership," a cutting-edge participation and facilitation methodology, to help the mayor with his community's environmental planning. One priority was to develop a forest land-use plan [due to an alarming rate of deforestation in the area] . . . A 90-member committee developed the plan in a participatory, consultative, and transparent manner. Members represented all segments of the community, included barangay captains [elected representatives], tribal leaders, academics, businesspeople,, government officials, NGOs, farmers, fisherfolk, and religious groups (Lippman 2001:21-22).*

As a result of the new plan and the process from which it emerged, inhabitants of the uplands began reporting illegal logging because they were now stakeholders in forest preservation. At the same time, local government officials developed increasingly positive attitudes

concerning the role of the land-use committee, seeing how the extra effort involved in such a consultation process ultimately made their work easier and more effective.

Taking account of the important gender-based constraints in democratic processes and institutions, working to remove those constraints and thereby promote the participation of women citizens in resource management, adds similar value to conservation and biodiversity activities. Addressing gender issues from the early policy and planning phases to later monitoring and evaluation phases increases results related to both resource management and democratic governance (e.g., Campbell and Rojas 2000).

Similar examples of successful collaboration exist among democratic local government activities and those related to economic growth, health and education (see also Greenberg and Okani 2001). However, the environment sector was that most frequently found linked to democracy and governance in USAID programs. Lippman hypothesizes that this may be due to USAID's long-running focus on participatory community-based resource management (2001:21).

Even though such cross-sectoral linkages can facilitate the accomplishment of a variety of sectoral results, USAID staff have found it a challenge to develop indicators and results packages that do justice across sectors. Additional challenges to cross-sectoral programming with the democracy sector include those relating to performance measurement, funding tied to solely uni-sectoral results (commonly referred to as "stovepiping"), the review process, USAID culture and procurement arrangements. Concerning performance measurement, for example, emphasis on quantitative measures can fail to capture the most valuable outcomes of DG programming, where qualitative measures may, in fact, prove more sensitive to monitoring change. Similarly, the review process for country strategies and results reflects the USAID's uni-sectoral approach. The fact that Washington technical officers usually did not attend sessions on other sectors' issues "limited opportunities for cross-sectoral thinking and rendered less likely approval of activities that did not fit into sectoral molds or appeared too complicated from a sectoral standpoint" (Lippman 2001:33).

Despite such challenges, Lippman's overall assessment of these experiences is quite positive. He found that "[t]he most productive context for cross-sectoral activities was government decentralization programs at the local level." A variety of tools and mechanisms has been used to date; both the Sustainable Development Office (Africa/SD) and the Democracy and Governance Office (now part of the Bureau for Democracy, Conflict and Humanitarian Assistance; DCHA/DG) have several such mechanisms on which Missions might build. However, in addition to identifying such technical strengths and implementation mechanisms, the study found that "imaginative and committed leadership was clearly the most important factor in the development of DG linkages" and the actions of key individuals make a difference (Lippman 2001:41).

## Strategic Priorities for Peru

During February-March 2000, USAID/Peru contracted a team of specialists to carry out a comprehensive assessment of the state of democracy and governance in the country at that time. Michele Schimpp, of G/DG and a member of that team, and Eric Kite, also of G/DG and the Center's LAC specialist, highlighted the points from the assessment that they believed most relevant to the emerging situation in Peru (personal communication 2001).

The assessment team's primary conclusion focused on the lack of effective checks and balances on the Executive branch as a serious hindrance to democracy and good governance. Even today, now many months after the departure of Fujimori and with a democratically elected government in place, an inordinate concentration of power continues to operate in the Ministry of the Presidency, and corresponding weaknesses remain notable in both the Legislative and Judicial branches. Assessment recommendations suggested key areas where these branches of government, along with aspects of civil society, should be strengthened.

The assessment identified a "lack of effective, intermediary-level organizations capable of aggregating and representing the diverse interests of the citizenry in the political arena, proposing viable governance alternatives, and holding elected officials accountable (USAID/Peru and G/DG 2000:4). Schimpp and Kite highlighted a need to achieve vertical integration among multiple (local to national) levels of government institutions, civic organizations and political party entities.

Yet, achieving such increased participation in these areas alone may not be enough to affect the overall quality and stability of democracy in the country. Regional organizations, including those in environment, health, and democracy sectors, need substantive local and national linkages in order to be truly effective. Finally, it was recommended that the USAID/Peru democracy program needed to establish priorities among subsectoral approaches. Those considered especially promising to Schimpp and Kite include local government and civil society apex organizations, corruption/accountability issues at multiple levels, and constituency offices for local counterparts to advocate for reforms.

The assessment's observations and recommendations concerning decentralization and local government bear particular import for the activities of SpO5. "Local government has the potential to serve as a check against centralized power, as well as being an area in which new political leadership can emerge and through which inclusion issues can be tackled" (USAID/Peru and G/DG 2000:6). Even in the absence of more extensive decentralization of resources, a local government approach in Mission programming still holds promise for the longer run. As a result, the assessment team recommended that the Mission support initiatives to:

- Increase local participation in decision making;
- Facilitate strategic planning and technical assistance processes to build capacity of municipalities to generate their own resources;

- Strengthen select regional mayors associations; and
- Stimulate the national policy debate on decentralization.

As part of this effort, the assessment team recommended consolidation of the SpO5 San Martin experience as a model to adapt for other areas of the country, including both coca- and non-coca-producing zones. As elaborated in a later section of this report describing SpO5 activity descriptions, San Martin province hosted an important Local Government, Infrastructure, and Participation component of the Mission's efforts to develop economic and democratic alternatives to the illicit coca economy and government by force. Special infrastructure projects were complemented by a training program with local governments and with the regional association of municipal authorities AMRESAM. The situation has progressed over time; experiencing such a significant degree of success that AMRESAM has reached the point where it has taken over the leadership role for coordinating the participatory planning process and the construction of infrastructure projects through its member local governments and related stakeholders.

## Environment and Democratic Governance Exchange

The USAID sponsored Biodiversity Support Project (BSP)<sup>2</sup> has pulled together what may be the most comprehensive treatment of DG linkages in any given USAID sector. Field-based research, Washington-based round table discussions and a series of workshops, known as the "Environment and Democracy and Governance Exchange" or EDGE, have yielded a wealth of information on how USAID has approached such linkages and lessons learned as a result of this experience (USAID/G/DG and G/ENV 2000-2001). BSP findings elaborate many of those noted by Lippman above, while expanding on issues relating specifically to the environment sector. The "Greening of Democracy" workshop in particular highlighted a number of key concepts, experiential examples and management recommendations of particular relevance to the Peru Mission (USAID/G/DG and G/ENV 2001).<sup>3</sup>

**Systemic DG reforms or issues affect ENV sectoral development efforts.** For example, decentralization reforms shift environmental management to local authorities, often without the necessary technical capacity, financial resources and/or representative mandate. Without these essential elements at the local level, decentralization "can lead to corruption and human rights abuses without DG technical assistance related to good governance (i.e., local accountability, representativeness, transparency)" (BSP 2000:2).

**Accumulating evidence suggests that ENV reforms have also influenced democratic governance.** USAID examples included "the development of strong and accountable civil society networks and organizations, the reform of policy making through links between communities and policy NGOs, improved citizen faith in judicial reforms from seeing

<sup>2</sup> Over the past 12 years, G/ENV and field missions have supported the work of BSP, a three member consortium including the World Wildlife Fund, World Resources Institute and the The Nature Conservancy.

<sup>3</sup> The following list of points paraphrase a summary of the workshop proceedings (BSP 2000).

success with ENV cases, the adoption of a public hearing process by national and local governments after positive ENV experiences, improved access to government information after experimenting with access to ENV information and broadening of indigenous peoples' rights to justice after gaining access to land. The impacts of ENV activities on the DG system can also be negative when local environmental governance systems are ignored by project managers (e.g., decreasing community access to decisions about resource management)" (BSP 2000:3).

**ENV policies and programs, and DG projects working with ENV groups, have generated and promoted social capital by building citizen experience with DG.** These activities have influenced the behavior of individuals or groups, created awareness of rules and responsibilities and promoted the characteristics of democracy such as participation, decision making and transparency (BSP 2000:4).

**Rule of Law / Human Rights activities, funded by ENV or DG sources, have focused on approaches that advance the ENV-related rights of citizens and organizations and improve the ENV enforcement capacity of the judiciary.** Rights-related work has focused upon specific ENV-related rights (e.g., rights to information, participation in environmental impact assessments, justice, life a healthy environment, livelihood). In many cases it was also necessary to research or advocate reforms to the national rule of law superstructure, build civil society capacity and reform local environmental governance (BSP 2000:4).

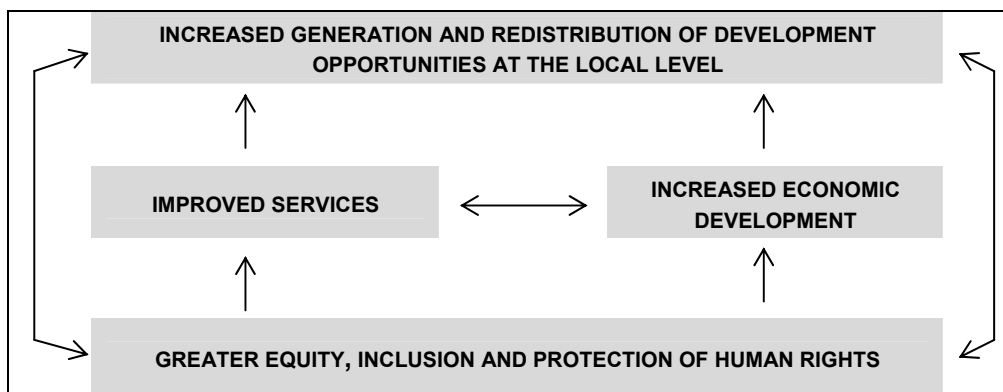
**Local Governance activities have involved collaboration by ENV and DG projects, mission strategic objective teams in ENV and DG, and local government and civil society organizations in host countries.** The Philippines GOLD project, described above, coordinated technical assistance among three Mission activities (local government, coastal resource management, and industrial environment projects) to better meet provincial governments demand for improved environmental governance and civil society relations. "Similar collaboration occurred in Haiti and Mexico [one with impetus from the contractors and the other initiated by the mission]. . . . [At the regional level] a Central American project, originally funded by DG and then managed by the Regional Urban Development Office, supported a federation of national municipal associations and helped them exchange experiences on local government-civil society cooperation on wastewater and solid waste management issues" (BSP 2000:4-5).

### **Local Governance: Local Government and Civil Society Collaborating to Manage Multiple Roles**

Another perspective on democracy linkages that may be useful to consider is the Mission's own experience and current thinking in this realm, as expressed by the Mission Decentralization Team (USAID/Peru 2001). The team is moving toward a common cross-sectoral understanding of the concept of "decentralization," "local government," and "local governance" and will soon begin the task of operationalizing what that means for the Mission strategy, as well as individual activities and PMPs for each SO involved.



One way to summarize the current thinking on those concepts would be to say that: “USAID/Peru defines decentralization as the political process of transferring economic, political and administrative power to local governments *to manage, in collaboration with the business and nonprofit sectors, the generation and redistribution of development opportunities*” (USAID 2001a with suggested revisions, in italics, by author). USAID’s strategy approaches this process at the local level through supporting activities to strengthen local technical skills and management practices, in both public and private sectors, related to: improved environmental and health services; increased economic development; and greater equity, inclusion and protection of human rights. The simplified results framework might look something like the following, with arrows representing the improved management process of government, in clear collaboration with the business and nonprofit sectors, as supported by USAID/Peru:



As such, local government can be viewed as a system of sometimes competing but largely complementary resources. One of the ways to address the complexity of this system is via the local government’s management of the development planning process, in collaboration with the business and private sectors, including strategic planning for the long run, usually on a five-year basis, and the development of operational plans each year. In leading this process, the local government thereby fulfills its responsibilities to seek out and meet citizen demands through the most efficient, effective and democratic means possible. Here also exist clear opportunities for each of the sectors to integrate their concerns into such plans and their implementation.

In each domain, distinct interests and entities will need access to quality information and a facilitation process that can incorporate these into a single strategic or operational plan. A variety of models exist for such planning, whether among Mission partners or within another USAID unit. For the Mission, the CARE consortium’s consultation process and consultative committees, along with AMRESAM’s own version of these, provide potential vehicles for this process, as do SO4’s BIOFOR participatory planning process and resulting master plans for protected areas, and perhaps other sector approaches as well. Perhaps the Mission will discover that each approach holds specific strengths for certain situations or sets of constituencies over others (e.g., farmers’ organizations vs. municipal officials vs. fisherfolk or indigenous groups). Elsewhere in USAID, similar or related models also flourish, e.g., the

Urban Environmental Workbook used to map out multiple group interests along with their local knowledge (described in Kessler 1998).

## **Gender Integration**

Development projects frequently seek to increase levels of participation. It is important to examine what “participation” actually means in terms of who is participating (based on ethnicity, socio-economic status, gender), the quality of participation that ensues and who benefits from such participation. We may view the various forms of participation as a kind of graduated continuum between the participant as a project “beneficiary” toward ever increasing degrees of involvement and responsibility, until the participant is an active “agent” of change in her/his own life. The stages marked in such passage include: passive recipients or beneficiaries; implementers of actions prescribed by others; consultants on problems and needs but not on their solutions; and organizers seeking to obtain their own necessities, as active agents of change (e.g., Haddad et al. 1995). When we talk about increasing inclusion in development opportunities, it is toward this last stage that we strive if we wish the process to be sustainable. Thus, efforts to increasingly include women citizens, like those to better involve indigenous groups, youth or other marginalized members of society, must keep such a vision in mind.

In both the highland valleys and the eastern slopes and river basins to the east, where many Peruvian have settled, women have not been able to adequately exercise their rights to ownership of resources or public decision making, in most cases since pre-colonial times. This lack of participation in the process of development has helped to undermine the effectiveness of both natural resource management and local governance and decreased its sustainability. Decreasing gender-based constraints has been shown to increase the representation and participation of women in development activities and thereby increase positive development results.

In a useful example of this approach, USAID/Bolivia provides support to the Fundación Gregoria Apaza, an organization that uses this type of “empowerment” approach. Las Gregorias work with existing groups of women (e.g., mother’s clubs, health committees, church groups) or form new groups if necessary, identify what they call “strategic social demands” and lobby for these demands at the level of the community organization. Such demands often have to do with the need for a safer and cleaner environment, free from disease and available for productive and reproductive needs (e.g., potable water, sewer systems). These demands, in turn, are brought to the municipal government as proposals for the next POA (Annual Operational Plan). In the process, members of the group learn skills concerning participatory assessments, negotiation, and mobilization and actual leaders emerge from this group. Many of these women go on to serve in official leadership roles in their neighborhood juntas, moving on to work at the district and municipal levels or beyond (A. Quiroga, personal communication, 1999).

A number of related findings have also emerged from the Women and Local Government activity of USAID/RUDO/LAC. For example, focusing on the inclusion of women at the

community level strengthens the community-municipal linkage overall and results in improved management of local resources (Thomas-Slayter 1996). Including women in the policy making process at municipal and community levels, and linking the two, amplifies the effectiveness of resulting policy (Huisinga-Norem 1996). On the other hand, existing laws and policies may need to be examined for inherent recommendations or implications relating to gender—for example, “What are the policy recommendations on gender for the government entities responsible for land tenure issues?” (WIDTECH and USAID/Guatemala 2001).

Two final bodies of research are worth mentioning here, as they bear direct relevance to increased citizen participation, effective local governance, equity and inclusion, as well as gender. The first concerns the integration of a gender perspective into the work of The Nature Conservancy (TNC) in community conservation. The Parks in Peril (PIP) Program of TNC and USAID uses the Site Conservation Planning process to design its on-site work with partner organizations. One component of this process, the Human Context Analysis (HCA), addresses gender as a core variable for social analysis to determine the “relationships people have to the site and the division of labor in the use and management of natural resources” (Campbell and Rojas 2000:4). Related processes include political mapping to understand formal and informal power and the development of indicators to evaluate the involvement of multiple local constituencies, including women. Additional examples of using social data and data disaggregated by sex for eco-regional and site-level planning, as fundamental activities of local governments, have proven invaluable to the conservation efforts of TNC, Population Action International and the World Wildlife Fund (Rojas et al. 2000; see also Rojas 2000).

Another complementary piece of research assesses women’s participation and decision making in local government in Mali. The assessment recommends an approach, based on eight elements: increasing men’s awareness of women’s potential contribution ; removing time constraints for women; improving information channels accessible to women; developing substantive information of relevance to women (e.g., women’s health, access to credit, the family code); forming and strengthening solidarity groups; strengthening capacity for women to participate more effectively; among other nonrelated elements. This approach stresses the need to focus efforts toward accomplished an objective of importance to women citizens—i.e., one that triggers their action, such as healthcare for their families or education for their children. (Greenberg and Okani 2001).

Such findings indicate that any effort to foster the generation and redistribution of development opportunities should necessarily empower not only men, but also women. The following sections will identify where such efforts are ongoing in USAID/Peru’s SO4 and SpO5 portfolios, as well as where they can be strengthened.



## 2. CASE STUDIES FOR SO4 AND SpO5

The case studies for SO4 and SpO5 provide a number of useful lessons concerning how to more effectively capture ongoing contributions to the Mission's Democracy Goal. Each case study begins with an overview of the results framework. Then, a summary description of each activity outlines the logic of the SO approach on the ground. These activity descriptions, in turn, set the stage for further analysis of impacts on democratic institutions and processes in the following sections. The discussion for SO4 will provide the most in-depth view, due to the fact that activities focus in a single sector, while that for SpO5 will take a broader view to emphasize breadth of contributions and multi-sectoral program implications.

### 2.1. SO4 STRENGTHENED ENVIRONMENTAL MANAGEMENT TO ADDRESS PRIORITY PROBLEMS: ACTIVITY DESCRIPTIONS

Activities to accomplish Strategic Objective 4 address key factors or results needed for effective management of the environment in Peru, including:

- National policy legal framework strengthened;
- Policies and practices feedback developed on the local level; and
- Increased environmental awareness, understanding and demand.

Each of these results are targeted to those environmental institutions and processes related to the country's most pressing environmental concerns. By further democratizing such institutions and processes, they become ever more effective in achieving these results (that is, incorporation of a greater quantity and quality of information can improve decision making and therefore result in more effective policies and programs). In addition, the broader inclusion of stakeholders in the decision-making processes serves to increase the probability of buy-in and, as a result, facilitates implementation and enforcement thereafter. Environmental policies and programs can thus demonstrate democratic principles in action in a very concrete way.

#### **Sustainable Environmental and Natural Resources Management (SENREM) Activity, 1996-2004**

The SENREM activity consists of four components, each dealing with a different combination of factors or necessary results needed for effective management of the environment. The first three will be completed by December 2001, while the last will continue until September, 2004.

**The Legal, Regulatory and Policy Framework Component** was designed to assist in the improvement of Peru's environmental laws and policies and to strengthen the capacity of the GOP's National Environmental Council (CONAM), related ministries and other public sector organizations to identify and solve environmental problems. CONAM works to coordinate

and strengthen the various GOP ministries charged with addressing environmental issues and to decentralize its functions through the creation and support of regional environmental committees (CARs).

CONAM demonstrates accountability and transparency by announcing its environmental agendas publicly on a biannual basis and later reporting results on progress to date. Much of CONAM's work is done through the CARs. Members include regional and municipal government representatives, businesses, non-governmental organizations (NGOs), universities, the Catholic Church, and any other important stakeholder for that particular region. Fifteen CARs have been formed to date, and 11 regional plans approved. A similar array of organizations and institutions comprise the national level of CONAM as well. Each level then sets about establishing an Environmental Action Plan, including the priorities and commitments of each stakeholder. Subsequent meetings address individual action items in the plan.

As a result of this process, SO4-funded technical assistance to CONAM has contributed to the strengthening of the council itself, to the formulation and approval of a new "Organic Law for the Sustainable Use of Natural Resources" and to the formulation and promotion of the "Law for the National System of Environmental Management."

Also related to this component, the Peruvian Society of Environmental Law (SPDA) carried out research on legal and regulatory reform in the country. Objectives of this subcomponent were to: strengthen policy researchers' capacity to develop and reform environmental policy at local, regional and national levels; increase the range of organizations specializing in environmental policy research; and disseminate research results to local, regional and national levels. Research themes related to: work carried out by the Ministry of Agriculture and the Ministry of Energy and Mines and approval of hydrocarbon projects in Protected Natural Areas; Ministry of Fishing and their determination of individual quotas; and the analysis of legal instruments related to use of renewable natural resources.

**The Private Sector Advocacy Component** of SENREM was designed to strengthen the private sector's capacity for consensus building, problem-solving and environmental policy dialogue. Under this component, SO4 (via technical assistance from SPDA and the Peruvian Center of Social Studies [CEPES]) has supported the National Environmental Society (SNA), a tertiary-level umbrella organization composed of 29 distinct organizations, including national and regional networks as well as NGOs that provide national coverage of environmental issues in Peru. Since its creation in 1998, SNA has developed a series of activities aimed to stimulate dialogue among GOP institutions, the business community and other key public and private sector stakeholders on specific themes and proposals related to the design and modification of environmental policy. Examples include: organization and facilitation of a presidential debate to define the environmental agenda for the 2000 elections; development of interest groups related to Mining and Environment as well as Agriculture and Environment; and assistance to the Mining and Environment Group to organize a workshop on Conflict Resolution and Negotiation Techniques, with participation from mining companies and NGOs working on mining issues.

SNA's current agenda includes a number of pressing issues, one of the highest profile relating to the proposed highway between Brazil and the Pacific. As initial steps to determining and lessening the environmental impact of the proposed routes, an impartial and collaborative baseline study and an ecological-economic zoning scheme must be developed. At the same time, SNA needs to quickly develop a sustainability strategy to assure its survival after the life of SENREM. SNA is currently exploring funding sources to carry out the baseline and planning studies along with other activities on its future agenda.

Another related activity, supported by SO4 and implemented by Instituto Cuanto, serves to: create an independent and constant source of information concerning national environmental trends and opportunities for problem solving; and stimulate public debate and decision making on environmental issues that are based on reliable information. Concrete results of this effort include the first environmental report entitled "El Medio Ambiente en el Peru, Año 2000" ("The Environment in Peru, Year 2000"), an archive of environmental news available to the public via the Center for Documentation and the webpage of Cuanto. As of the March 2001 SENREM evaluation, Cuanto had just begun to develop a sustainability strategy for financing the database and report and had not yet addressed preparations for the next environmental report.

Complementary efforts by the Office of Environmental Assessment and Consulting (OACA) offered environmental capacity building workshops for industry to facilitate the identification and adoption of clean and cost effective processes, practices and technologies, thereby guaranteeing environmental quality and, at the same time, improving enterprise competitiveness. OACA also provided capacity building and technical assistance to municipalities and communities in environmental monitoring and evaluation.

**The Pilot Demonstration Projects Component** was designed to develop, validate and promote innovative and sustainable environmental technologies and practices by private sector organizations, with a view towards their replication by the GOP, the private sector and other donors. Projects were chosen from among submissions by NGOs, unions, professional organizations, foundations, businesses and universities that met specific criteria for qualification. Criteria included, among other factors, attention to key issues, professional qualifications and experience in the proposed team, and incorporation of local participation with an effort to include both women and men participants.

Pilot projects addressed a range of issues confronting coastal, sierra, and selva ecosystems, such as sustainable seafood production; urban agriculture; preservation of biomass, biodiversity and soils via use of native trees and grasses; and forest enrichment in the Amazon.

By developing and testing such technologies and practices at the local level, this component not only promotes the use of both environmental- and user-friendly technologies among those who must comply with environmental regulations, it also increases the awareness of such issues along with the demand for services among local citizens.

Integration of both women and men and attention to gender issues was a criterion for project selection, i.e., in determining how funds would be awarded for individual demonstration projects. Effective integration of gender-sensitive criteria was also a factor in determining whether projects received a positive evaluation at the end of the project cycle (although the actual results related to these criteria were not apparent in the project documentation examined by this researcher).

**The Clean and Efficient Production Component (CEPCOM)** will build on recommendations from the early phases of SENREM policy research by: creating a Clean Production Center for industry; strengthening environmental management of the Ministries of Industry, Fisheries and possibly Energy and Mines to develop new or improved environmental laws and implementation tools; assist the fishmeal industry to reduce pollution and waste and increase competitiveness; and establish a system for funding environmental audits and small demonstration interventions (paraphrase of USAID/Peru 2001e:83).

### **Biodiversity and Fragile Ecosystems Conservation and Management (BIOFOR) Activity, 1998-2003**

BIOFOR, implemented primarily through the International Resources Group (IRG) and INRENA, includes actions to:

- Address policy issues that constrain sound and sustainable management of Peru's biological diversity and most fragile ecosystems, particularly tropical forests, through technical assistance to appropriate GOP agencies;
- Assist INRENA in developing capability to provide leadership in policy improvement and implementation and in the management of such biologically diverse and fragile areas;
- Build capacity within local public and private institutions (NGOs, CBOs, universities, etc.) in strategic and financial management to facilitate improved site-based conservation and sustainable management along with the monitoring of such areas;
- Provide grants to selected private sector organizations to develop capacity building and innovative management approaches for these same areas and ecosystems.

*In addition to its important policy work at the national level, BIOFOR activities extend to six important sites across the country, including: "Pacaya-Samiria National Reserve and neighboring areas in Loreto; Rio Abiseo National Park with Mariscal Caceres National Forest and other neighboring areas in San Martin; Huascaran National Park and neighboring areas in Huanuco; Paracas National Reserve and areas related to the marine and coastal ecosystems of Ica; and Madre de Dios, including Bahuaja-Sonene National Park...[two additional reserves], areas where intensive gold mining threatens biological diversity and forests, and potential areas for permanent forest zones" (USAID/Peru 2001d:21).*



The “master plan” produced for Pacaya Samiria National Reserve, located in the northeastern Amazonian region of Loreto, pioneered a highly collaborative process among the GOP, local governments, NGOs, indigenous groups, and the international donor community. The resulting document presents a highly useful collection of agreements for carrying out future development in the area, including:

- Applicable legal regulation(s);
- General background information relating to location, legal definition, and other relevant descriptive data;
- Description of the approach used in developing the plan;
- Definition of zoning areas for preservation and use, e.g., zones for strict protection, special use, recovery, tourism and recreation, etc.
- Strategies for sustainable conservation and development, e.g., strategies for protection, recover and use of natural resources, research, environmental education, tourism, participatory local development, relation with indigenous communities, financing, etc.
- Implementation procedures; and
- A host of useful annexes, e.g., the 1986 plan, maps, species list, etc.

The Pacaya Samiria plan represents a milestone, participatory-planning effort for protected areas in Peru and Latin America as a whole, and the participatory approach employed has become a blueprint for all such master plans in the future (Fernando-Davila, personal communication, 2001; Garcia Zamoro, personal communication, 2001; INRENA 2000). Complementary small grant awards fund innovative local level approaches to addressing challenging issues via collaborative public-private efforts.

Subsequent activities adapt this participatory planning process to their own, unique situations. The master planning process for Paracas, located on the coast far to the west of Pacaya-Samiria, provides an interesting example of such adaptation. In Paracas, the marine-coastal ecosystem includes an array of flora and fauna that must be taken into account, a delicate balance of algae, fish, dolphins, penguins, sea lions, etc., along with a diverse grouping of fisherfolk, small industries and enterprises, tour operators, restaurateurs, etc. Further inland, the area hosts migration of the endangered Andean condor. Not far from the current town of Paracas, one finds a number important pre-Inca archaeological sites of interest to both tourists and relic hunters alike. The planning process for Paracas must therefore include a far different and possibly more diverse collection of stakeholders, including multiple GOP Ministries (Agriculture, Health, Fisheries), the National Cultural Institute, local, district and provincial governments, NGOs and several other interest groups.

The BIOFOR planning process incorporates gender considerations into the site-based actions. Gender equity is sought as a means to strengthen institutional capacity and support

participatory planning, improve equity in the development process and encourage increased economic benefits to women from sustainable management of natural resources.

### **Urban Environmental Health Services and Hygiene Behavior Activity (EH), 1999-2004**

This activity supports improved environmental health services in targeted urban and periurban communities. By working with consortia of local public and private stakeholders, including CBOs at the most local level, the activity intends to:

- Bring about positive changes in individual and group behaviors of community residents, thereby contributing to reduced infant and child morbidity and deaths from diarrhea and acute respiratory infections; and
- Stimulate local demand for improved environmental services.

Community participation in these efforts, along with those described below, will target the most marginalized and vulnerable groups, especially the urban poor and women residents.

In addition, the effort will serve to facilitate the adoption of policies to improve urban health conditions beyond the specific project activities. The CARE-led consortium will work with MOH-DIGESA (GOP Office of Environmental Health) to:

- Formulate and implement improved environmental health policies; and
- Build capacity in appropriate technologies, strategic planning and program management among staff of selected private sector organizations and local governments.

Small grants to local groups and government units will invigorate this activity by supporting their efforts to test, demonstrate and contribute to the replication of EH improvement actions in selected poor urban communities (CARE 2001).

### **Increased Environmental Demand and Awareness Activity (IDEA), Potentially 2002-2008**

The Mission notes a considerable increase of interest in environmental issues since 1995 among business and university communities, as well a continuing high level of interest among environmental NGOs in the country. This activity will cultivate this interest by key public and private sector leaders to “the wide array of possibilities that exist for improving environmental quality. A companion effort will be carried out to increase environmental awareness and demand for environmental quality among the general public, through environmental information programs in the schools, expanded mass media converge...and information/education programs for civic and women’s groups” (USAID/Peru:2001:85).

In October, when data for this report was collected, GreenCom was carrying out an assessment of the Mission's environmental education and communication needs, indicators, actions and strategy as a first step to establishing a series of alliances among interested entities. GreenCom noted the importance of human resources at the municipal level to making key environmental decisions, along with a strong correlation between the effective use of information and democratic processes. For example, heightened access to quality information can allow decision makers to reach more persons and/or those persons most affected by environmental problems. Similarly, grassroots control requires adequate access to information to transparent information sources in order to effectively advocate for higher quality services and to assure government accountability. Based on this assessment, GreenCom will develop a work plan to build capacity in accessing and using information for decision making among a wide array of key local stakeholders (Ecalada, personal communication, 2001).

### **Strengthened Integrated System for Environmental Management Activity (SISEM), Potentially 2003-2008**

SISEM will consist of two components, designed to strengthen the national policy framework and to test their effectiveness and implementation possibilities at the local level. The first component will strengthen the national policy framework via short-term technical assistance to "CONAM, INRENA, DIGESA, selected ministries and the Congress to address important deficiencies" in that framework (USAID/Peru 2001:85). SISEM's second component will focus on linking national policy to application on the local level. While both SENREM and BIOFOR have addressed national policy as well as local technologies, the projects have done less to develop and test a process for application of those policies and technologies at the local level. SISEM will accomplish this next step by creating a feedback system to the national level and a process to identify and address systemic constraints for such feedback. Test areas will represent priority problems and a cross-section of ecological zones. They will also provide synergy with the economic corridors program under SO2, the municipal strengthening and alternative development activities under SpO5, as well as the Business Development Centers of MITINCI and the EH programs of DIGESA (USAID/Peru 2001e:85).

## **2.2. SO4 SUPPORT FOR DEMOCRATIC INSTITUTIONS AND PROCESSES: CONTRIBUTIONS, CHALLENGES, AND OPPORTUNITIES**

The case study for SO4 required analysis and recommendations related to the following aspects or dimensions of democracy, which were chosen by the SO4 team for this analysis: decentralized policy; institution building; community-based natural resource management; local demand for environmental services; human rights and equity/inclusion; and gender issues. It should be noted here that the SO4 Team, like SpO5, chose areas of analysis for their individual case study that did not match up one-on-one with the "synergies matrix," previously introduced in section 1.2. Those areas of analysis addressed in the SO case

studies, rather, reflect an clear sectoral understanding of the extremely interrelated nature of democratic processes and institutions within their own sectors. The negotiation of cross-sectoral agreement on the final definitions of these dimensions, and potential shared results, will support more effective cross-sectoral communication and impact toward the shared Mission Goal overall.

The following discussion describes the primary findings from the SO4 study, along with potential linkages for joint programming with SO1 and recommendations to strengthen both environment and democracy impacts.

## **Decentralized Policy**

SO4 activities impact policy at multiple levels, supporting decentralization of policy development, implementation and enforcement via:

- SENREM: facilitation of CONAM collaboration with local stakeholders via regional environmental committees (CARs) and regional action plans, and the SPDA strengthening capacity of policy researchers to develop and reform policy. SENREM also helped CONAM develop model environmental ordinances in pilot and other municipalities;
- BIOFOR Activity: partnership with the GOP via INRENA, related ministries, and local stakeholders to develop policy and management plans; BIOFOR also promoted use of local management committees and incorporating them in new protected areas legislation; and
- EH Activity: research on policy and implementation resulting in recommendations for local and national policy.

These activities effectively further recommendations of the Peru Democracy Assessment discussed earlier (USAID/Peru and G/DG 2000:6) by supporting:

- Increased local participation in decision making;
- Facilitated strategic planning and technical assistance processes to build capacity of municipalities to generate their own resources;
- Strengthened select regional mayors associations; and
- Stimulated the national policy debate on decentralization.

No mention was made of the analysis of any gender issues related to the development of Decentralized Policy in any of the SO4 activity-related documents reviewed. One interviewee suggested that “gender” was a concept imposed on them by some donors and thus not a real concern for them. Unfortunately resulting policies may therefore be gender

blind. Potential constraints on women's time (for example meeting timing, location of meetings, use of limited media of communication) may differ from those of the men and thus may well result in reduced participation of women compared to men in decentralized consultation and decision-making processes. Such constraints could be limiting the potential for greater participation by marginalized groups in these political process, an important dimension to both SO4 and all policy related SO programming.

## **Institution Building**

SO4 activities strengthen national institutions in the areas of public awareness, participation and consultation and environmental education by providing capacity building and technical assistance via:

- SENREM, BIOFOR, EH to the national level government, e.g., CONAM, INRENA, the Environmental Health Office (in the Ministry of Health; DIGESA) and other Ministries to incorporate participatory decision making procedures;
- SENREM, BIOFOR, EH to regional and local level governments, e.g., CARs, management planning, pilot project activities; and
- SENREM, BIOFOR, EH to the private sector organizations at multiple levels, including small grants to local public- private consortia of government and nongovernmental organizations (NGOs), universities, community-based organizations (CBOs), business and/or industry through management planning, small grants for technology development. Also SENREM supports the National Environmental Society (SNA) as an umbrella organization of environmental NGOs.

Support to private sector watchdog organizations, e.g., SNA, already serves to strengthen Congress indirectly by demanding accountability on environmental issues and by keeping track of the Executive Branch performance. The opportunity exists, however, for a new activity to increase access to information and analytical support on environmental legislation directly for Congress. Current topics of importance, i.e., where information would be both critical and timely, include the transoceanic highway,<sup>4</sup> urban environmental health concerns, and resource rights.

In personal interviews, Schimpp and Kite, DCHA/DG, highlighted a need to achieve vertical integration among multiple (local to national) levels of government institutions and civic organizations, among others. They went on to note that regional organizations, including those in the environment, health, and democracy sectors, need substantive local and national linkages in order to be truly effective. It is clear that SO4 facilitates the development of such linkages.

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<sup>4</sup> Plans exist for a transoceanic highway to run coast to coast and through the Amazon, thereby greatly reducing travel time between the Atlantic and Pacific coasts of South America.

## **Community-Based Natural Resource Management**

A Community-Based Natural Resource Management (CBNRM) approach informs all SO4 Activities. With their strong focus on community participation, these activities address most of the subsectoral approaches considered especially promising to Schimpp and Kite (personal communication, 2001) for Peru, including local government and civil society apex organizations, and corruption/accountability issues at multiple levels.

SO4 Activities support participatory, community-based processes, which are inherently democratic, in development planning, implementation and evaluation. This community-based approach to managing natural resources also contributes to local government strengthening and environmental policy decentralization, especially among marginal populations, including rural poor, indigenous peoples, and women. BIOFOR provides a clear example in its management planning process, a process that involves all high stakeholder groups at various key points in development. Conversely, the democratic participatory planning approach taken by BIOFOR, SENREM and EH increases the projects' impact by developing more appropriate and workable action plans as a result of involving a greater number and proportion of marginalized groups in the process.

When conflicts over resources arise, it can be difficult to resolve issues without easy access to legal mediation services. Support for environmental dispute resolution in both SENREM and BIOFOR facilitate processes in which local people and local organizations can arrive at mutually satisfying agreements when local resources are in question.

Positive results from using a participatory planning approach continue to accrue throughout the project cycle in both SENREM and BIOFOR target sites. Benefits are similar to those for the Philippines GOLD Project, where inhabitants of the uplands began reporting illegal logging because they were now stakeholders in forest preservation. At the same time, local government officials working with GOLD developed increasingly positive attitudes to the role of the land-use committee, seeing how the extra effort involved ultimately made their work easier and more effective (Lippman 2001). SENREM and BIOFOR may expect similar benefits.

## **Locally-Based Demand for Environmental Services**

SO4 Activities support capacity building in technical areas and advocacy approaches to demand services in the areas of water and sanitation, solid waste collection and disposal, and air contaminants. By focusing on the concrete needs of local people for environmental services, activities funded by SO4 address essential aspects of decentralized policy and programming for local government. Local demand for such services increases as a result SENREM and has been designed as an even clearer outcome of EH and IDEA activities.

When community-based organizations and NGOs gain greater access to information, along with basic advocacy skills and strategies, they can more effectively demand, not only increased service provision, but transparency and accountability of public officials as well.

Peru's SO4 program then has much in common with experience of those USAID Mission in the EDGE workshop reporting that:

*ENV policies and programs, and DG projects working with ENV groups, have generated and promoted social capital by building citizen experience with DG. These activities have influenced the behavior of individuals or groups, created awareness of rules and responsibilities and promoted the characteristics of democracy such as participation, decision making and transparency" (BSP 2000:4).*

Participating in such activities and seeing their own positive results, citizens thereby gain the opportunity to see democracy in action, as they participate and gain confidence in its processes and institutions.

## **Human Rights**

The participatory planning process, especially as evident in BIOFOR work on zoning and management planning, strengthens the human rights of participating indigenous populations in a number of areas. Specific rights addressed include: access to environmental information; a healthy environment; the right to continue their own cultural practices; and local decision making on governance and land use issues.

## **Equity, Inclusion, and Gender**

According to USAID staff and partners interviewed, SO4 Activities have integrated gender approaches at local program or project levels by employing participatory approaches throughout the project cycle, from needs assessment to program and policy design, implementation and evaluation.

Gender-related results are measured in a number of key ways. At the reporting level, the PMP for SO4, IR3, Indicator #2 measures the "% of population (disaggregated by sex) with an increased concern for and understanding of environmental problems as measured through an annual environmental survey" (USAID/Peru 2001e:86). Since the 1996 survey, researchers have addressed gender issues in both survey methodology and analysis (USAID/Peru and Instituto Cuanto 1998). Survey results reported in March, 2000 (analyzing the 1999 survey) show that, while men's and women's respective knowledge of the environment continues to differ, each year the degree of difference is less (Instituto Cuanto 2000). Existing differences in knowledge have much to do with the division of labor between women and men. For example, women tend to know more concerning water issues due to responsibilities in cooking and child care that bring these to their attention. Men, on the other hand, possess greater knowledge regarding soil contamination, corresponding to men's comparatively greater involvement in the construction of terraces and roads, clearing trees and plowing fields for cultivation. This means that both men and women must participate in

project planning and implementation in order for all relevant subsystems of local knowledge and practice to be taken into account.

At the project level, “the involvement of women and overall attention to gender issues is one criterion used to select grantees” for site-based activities. For training activities, “trainee numbers are sex-disaggregated to track how well the SO is contributing to achieving gender equality of opportunity” (USAID/Peru 2001e:93).

Yet, while local-level activities may employ a gender approach, there is little clarity concerning the policy impacts of women’s and men’s decision making. That is, while women and men are both participating in these activities, the nature and impact of such participation is not clear; it is not known whether men’s and women’s knowledge and opinions are incorporated in actual decisions made at the local level and whether both benefit equally. Additionally, the vertical linkages to higher level policy decisions are not apparent.

### **Additional Observations**

SO4 activities strengthen environmentally-related democratic processes and institutions across a number of subsectoral areas, as noted above, and thus provide a variety of opportunities for cross-sectoral programming with SO1. The Mission’s focus, across all SOs, on a limited number of specific economic corridors further increases the potential for both collaboration and synergy with other programs.

What remains unclear, at this point, is exactly how the categories chosen by SO4 for this analysis will correspond to the over-arching synergies matrix for the Mission Goal, which includes: respect for human rights, citizen participation, local governance, accountability, decentralization, rule of law, transparency/information, advocacy, equity, inclusion and gender, human capacity development and environmental stewardship. The synergies matrix employs a larger number of subsectors that often overlap those identified by SO4.

### **Potential Areas for Joint Programming for SO4 and SO1**

Table1, Part A (Annex A) describes the specific correspondence of SO4 activities to the SO1 results framework. According to this framework, the greatest potential for collaboration relates to increasing both citizen participation and government responsiveness (IR’s 1.1 and 1.2) especially as they relate to decentralization processes and democratic local governance strengthening. The environment program experience and expertise lies in the practical application of technical knowledge related to democratic institutions and processes specific to the environment sector (e.g., land use planning/management, institution building related to environmental health, natural resource policy making). The environment sector, then, addresses very tangible issues that are important to local people in their everyday lives, so they have a high motivation to participate. The democracy sector experience and expertise in public administration issues and other participatory approaches complements that of SO4.



According to the Mission's new CSP, SO4-SO1 collaboration is currently planned for increasing participation in decision making, local government and CBOs, training women mayors, and conflict prevention (USAID Peru 2001e:89). Citizen participation in local government will be most clearly increased via SO4's SENREM, BIOFOR and EH activities. IDEA social marketing efforts to stimulate local demand for services with information from the pilot projects in these same activities will also contribute to this result. On the supply side, local government authorities receive capacity building and experience related to generating new environmental technologies and policies via these same activities. At the same time they will obtain higher quality information on which they can base their decisions.

Information generated through both the IDEA activity and the Annual Report on the Environment also hold potential for Congressional strengthening relating to new and proposed environmental legislation. Strategic opportunities currently exist for technical assistance and training concerning the transoceanic highway and an array of urban environmental health concerns.

### **Potential Areas for Joint Programming for SO4 and SpO5**

Areas with the most immediate potential for collaboration among SO4 and SpO5 programs include sustainable forest management, land use management and environmental education and communication, as these were reported to be of interest and considered feasible by members of both SO teams. A second tier potential also exists for joint programming in protected areas and ecotourism, although at a later point in time, according to SpO5.

- **Sustainable Forest Management**—an important and sustainable option for licit economic activity, with promise of both sounder environmental management and increased incomes: IR5.1.1; Indicators 5.1.1(2) and 5.1.1(3).
- **Land Use Management**—zoning re: land use and related enforcement experience in environment sector could strengthen local government and licit economic activity efforts in alternative development areas: IR5.1.1(3) and 5.1.3; Indicators 5.1(2), 5.1.1(2) and 5.1.1(3).
- **Environment Education/Communication**—collaboration in social marketing approach for sustainable licit activities and sound management practices, as well as training municipal officials in planning, finance and management for environmental services (e.g., solid waste management): IR5.1 and 5.1.2; Indicators 5.1(2), 5.1.2(1), 5.1.2(2) and 5.1.2(3).
- **Protected Areas and Ecotourism**—also possible but of lesser priority to SpO5 activities: IR5.1.1, 5.1.3(e); Indicators 5.1.1(1) and 5.1.3. Note: Security concerns would delay viability of ecotourism in the near future.

SO4 and SpO5 collaboration already existed to some extent, at the time of this writing, in mutual support for the same contractor to promote sustainable forest management in Tarapoto.

### **Additional Recommendations<sup>5</sup>**

While SO4 activities clearly target poor populations in both urban and rural areas of environmental concern, the program could further increase inclusion of vulnerable groups, (women, indigenous and/or poor) by making several simple adjustments:

- Examine project-level monitoring of the quality and effectiveness of participation, disaggregated by age, sex, ethnicity, at the local level. One way to do this would be by further disaggregation and analysis for:
  - IR4.2 Policies and practices feedback developed on the local level 4.2.3 # of instances where feedback from the local level to the national level resulted in the development or refinement of laws or other policy type instruments (analyzed by type, gender implications, location of residence and ethnicity).<sup>6</sup>

Other potential results and indicators could be:

1. Increased level of access to or participation of target population in development decision making, i.e., of management plans, budgets, strategies, etc., as indicated by the percentage of issues presented in public forum, or percentage voting on decisions, or percentage of individuals consulted according to sex, location of residence, ethnicity.
  2. Increased percentage of target population satisfied with particular services (disaggregated by sex, location of residence, ethnicity).
  3. Increased influence on municipal service outcomes, as indicated by percentage of issues/positions presented by vulnerable groups that are integrated into service outcomes (disaggregated by sex, location of residence, ethnicity).
- Consider using one of the above indicators as a reporting indicator(s) to assess the actual quality of activity impact on citizen participation, accountability and equity/inclusion and gender issues.
  - When collecting data on these and other indicators (including those assessed via the national survey on the environment), both men and women household heads should be interviewed. This means that when a married or cohabiting couple live in a household, they should both be interviewed. An interview team consisting of both a woman and a man best carries out such interviews simultaneously and apart from one another.

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<sup>5</sup> Findings also suggested an approach for collaboration among SO4 and SpO5 activities and were reported in the cases study for each. These recommendations are not directly relevant to this report and thus are not reviewed here.

<sup>6</sup> Data should be disaggregated and analyzed for differences in influence of women vs. men, rural vs. urban residents, and white or mestizo vs. indigenous and Afro-Peruvian interests/concerns.

- Examine policy implications for issues of priority importance to indigenous populations vs. nonindigenous populations and women vs. men through funding specific BIOFOR and EH small grants.
- Include an Equity, Inclusion and Gender Policy and Procedures component as a required aspect of all institutional strengthening activities.

Research and programming discussed at the G/DG and G/ENV sponsored EDGE workshop highlighted evidence that ENV reforms have also influenced democratic governance. USAID examples included development of strong and accountable civil society networks, the reform of policy making through links between communities and policy NGOs, improved citizen faith in judicial reforms from seeing success with ENV cases, the adoption of a public hearing process by national and local governments after positive ENV experiences, improved access to government information after experimenting with access to ENV information and broadening of indigenous peoples' rights to justice after gaining access to land" (paraphrase BSP 2000:3). These examples came from a variety of Mission around the world. What is remarkable here is that the USAID/Peru SO4 Team positively impacts each of these critical areas. The challenge remained only to tell the story.

### **2.3. SPO5 SUSTAINED REDUCTION OF ILLICIT DRUG CROPS IN TARGET AREAS OF PERU: ACTIVITY DESCRIPTIONS**

USAID/Peru's Alternative Development Program (ADP) contributes an important result (IR 5.1. Increased Alternative Development in Target Areas) to the larger Special Objective it shares with other branches of the USG and GOP. As part of this program, the Mission has supported and continues to support a set of high quality and comprehensive activities that clearly impact on the country's democratic institutions and processes as a means to accomplishing their more specific sectoral results, i.e., those related to increased alternative development in target areas. Activities in the AD Program cluster within three key areas of impact, including:

- Increased household income from licit economic activities;
- Improved social conditions; and
- Improved policy and institutional framework.

As an integral and cross-cutting aspect of this program, partners also promote increased public participation in community development processes as a means to accomplish overall program sustainability.

The new CARE-led consortium will implement ADP in collaboration with an array of local public and private institutions. The initial participatory diagnostic and later a participatory planning session involves multiple actors at the most local level, including various producer associations, the municipal government, collaborating local NGOs and the CARE team. At the next level, representatives of the Ministries of Agriculture and Health, the various special

projects and Contradrogas (a Peruvian Agency that works “Against Drugs”) from the respective zones, all participate in compiling the Annual Plan for Contradrogas (the Annual Plan Against Drugs), later going on to forge or strengthen linkages to potential buyers for the licit products in question. The decisions and recommendations emerging from the various zones will, in turn, inform policy decisions to be made at the national level in Lima.

In general, activities will support both agro-economic and institutional-strengthening results, including those to:

- Increase production and value-added;
- Facilitate linkage between supply and market;
- Increase access to market information and financial services;
- Access to technical assistance and capacity building services;
- Promote sound environmental management; and
- Strengthen farmers’ organizations and local government.

But the specific nature of the support given will be adapted more closely to local level knowledge and needs via the aforementioned participatory process (CARE 2000).

### **Licit Economic Activities (LEA)**

**Licit Crops and Other Products.** The LEA component of the program supports activities to increase household income from licit economic activities by organizing groups of producers to increase their access to production services and markets. LEA also plans to emphasize agroforestry and forestry management activities, using an approach designed to both preserve the environment and to develop a sustainable source of income. Both timber and non-timber products, especially medicinal plants, show commercial potential for local and export markets.

Among the many essential results envisioned by the LEA, perhaps the one most pertinent to democratic processes and institutions is to strengthen farmers’ organizations. Institutional strengthening efforts for these organizations will focus on issues such as the development of organization mission, revision of statutes, training in business management, administrative documents, participatory planning, marketing costs and principles. To strengthen social capital, the CARE consortium will set up consensus-building committees for developing an institutional network to better support those same processes that the project promotes and to secure support for education, health, transport, industry and tourism sectors, in order to generate synergies that contribute to achieving sustainable impact. In addition, a competition fund for local economic development initiatives will allow the target group of farmers’ organizations to gain access in association with municipalities and private businesses (paraphrase of CARE, et al. 2000:12-16). A later section in this same report will elaborate on the LG strengthening approach (see 2.2 below.)

**Emergency Program.** An emergency humanitarian assistance component to the ADP provides a safety net for at risk households threatened by the short-term economic and social

consequences of coca eradication/abandonment and facilitates their participation in sustainable, licit development.

A food assistance component, accompanied by nutritional assistance and education, will address immediate health and nutritional crises. An employment component will increase immediate income, improve basic infrastructure and access to services, and simultaneously strengthen local community organizations. A microcredit program will develop financial management capacity and increase credit worthiness of participants, and a market development initiative will pave the way for families to increase commercialization of local products and reduce post-harvest losses (USAID/Peru 2001:104).

The microcredit aspect of this program works with solidarity groups and village banks, composed primarily of women household heads and bearing significant potential for further empowerment work related to community development participation. A later section, will elaborate on this potential (see Section 3, Analysis and Recommendations, below.)

## **Local Government, Infrastructure and Participation (LGIP)**

This LGIP consists of one set of subactivities to develop and maintain local infrastructure and another set to strengthen local government and municipal associations in their abilities to deliver efficient services and to cultivate broader local participation. Local governments will be supported in strategic planning, development plan design, community services and citizen participation.

**Local Infrastructure.** LGIP support strengthens the capacity of local public and private institutions to maintain the infrastructure, increase quality of life (schools, water systems, health posts, electricity, etc.) and manage roads infrastructure. Initially, the program addresses such needs through multiple special projects carried out by the appropriate local representative of the national government entity, e.g., INADE, INRENA, MINSA, MOE, etc. and/or with local governments and community based organizations affected. As local level capacity builds, later phases of the activity can shift away from national government reliance to collaborate increasingly with local level entities.

Road maintenance and construction carries particular importance for the licit development of the coca growing regions, as roads form the primary physical linkages between the sources of the new licit crops and products to regional, national and international markets. The plans include a new major route connecting San Martin to the highlands and existing roads reaching to other highland areas and the coast beyond. However, it is important to note that the route itself is not within the manageable interest of the ADP but, rather, depends on the contribution of additional resources, key information and collaboration of national and local authorities in the process.

**Local Government and Participation.** Local governments have clear responsibilities for the construction and maintenance of local infrastructure and for increasing access to basic services for local residents. At the same time, however, local governments are often

“constrained by: flawed policies that hamper decentralization, limited resources, frequent turnover of staff, and poor support from the GOP (USAID/Peru and G/DG 2000:102).” To address the limited capacity of these municipalities, the ADP channels assistance through GOP entities in the ADP areas and strengthens regional municipal associations to better serve the interests of their associate members. Organized as NGOs, these associations provide a focal point for creating long-term institutional sustainability for local development.

Among the more pro forma themes addressed in the capacity strengthening process with local governments, such as administrative procedures, financial systems, municipal legislation, monitoring and information systems, etc., the approach also addresses the vital dimensions of citizen participation, consultative committees, outreach and strengthening to women’s organizations and leadership development with a gender focus (AMRESAM 2001).

**Coordination of Local Government, Infrastructure and Participation Components.** Two main concentrations of ADP activities exist, one in the Huallaga River Valley and the other in the Apurimac River Valley, each with a distinct set of challenges and opportunities. In the Huallaga Valley, primarily in the Department of San Martin, an earlier stage of ADP activities consisted of multiple special projects carried out with discrete sets of local actors and included high reliance on the national government representative INADE. These special infrastructure projects were complemented by a training program with local governments and with the regional association of municipal authorities AMRESAM. However, the situation has progressed over time, experiencing such a significant degree of success, that AMRESAM has reached the point where it has taken over the leadership role for coordinating the participatory planning process and the construction of infrastructure projects through its member local governments and related stakeholders. AMRESAM’s own “consultative committee” now includes the head of the region’s chamber of commerce, the archbishop, and representatives from the region’s universities and professional associations. This expert panel, representing key actors and groups of actors in the region, thus provides an important forum for the discussion of key regional issues, such as the proposed marginal highway and its importance to better connect the region with the rest of the country.

The situation differs significantly in the Apurimac Valley due, in part perhaps, to its more remote location, but also certainly to the fact that the target area involved spans some six districts in three different departments. Not only is the local economy in a much more fragile condition than that of the Huallaga Valley, but the relatively newer municipal association there, AMUVERAE (Association of Municipalities of the Apurimac Valley), thus has a somewhat more complicated line of communication in influencing policy and resource allocation from its member Districts. Therefore, the special infrastructure projects continue to be carried out discretely, and the local government service delivery and participation strengthening continues to be something like the early years described for San Martin above. At the same time, it is important to note that the local situations themselves differ notably, so that one cannot assume a transition identical to that in San Martin and AMRESAM. Nevertheless, the AMRESAM experience does provide important lessons and a working model that can themselves be adapted to the specific situation of the Apurimac.

**Decentralization and Other Policies Relevant to Success of ADP Initiatives.** This new aspect of the ADP strategy, to be carried out primarily by Contradrogas, emphasizes a series of policy reforms to better support the alternative licit economy in the target areas. Contradrogas' plans to propose public policies related to:

- Decentralization of administrative and financial functions to local governments;
- Clearer definition of legal coca production and eradication regulations;
- Allocation of financial resources for rural roads maintenance; and
- Implementation of decentralized health and education services.

Additional policy and regulations may be proposed concerning key issues as needed, e.g., forestry and agricultural production, public participation in local decision making and community development, and strengthening local organizations.

## **2.4. SpO5 SUPPORT FOR DEMOCRATIC INSTITUTIONS AND PROCESSES: CONTRIBUTIONS, CHALLENGES, AND OPPORTUNITIES**

The following subsection provides analysis and recommendations in order to strengthen and expand on SpO5's contribution to democratic institutions and processes, with an emphasis on those related to access to justice/administration of justice, anticorruption, decentralization and participation. Subsequent subsections will highlight those findings related to gender and democracy issues, as well as those suggesting joint programming opportunities with SO1 and SO4.

This case study differs from the organization of the previous case study in a number of ways. The SpO5 Team asked for different analytical categories for assessing democracy linkages than did SO4, and they requested that recommendations immediately follow the analysis of each dimension.

### **Access to Justice/Administration of Justice**

Illicit coca production and narco-trafficking brings with it a culture of violence. Before the Alternative Development Program (ADP) activities in Peru, the "urban centers" of coca-producing areas often consisted primarily of brothels, cantinas and kerosene distributors. Thinking back to the years of such a drug based economy in the Upper Apurimac, one longtime resident of Chamboyacu remembers that it was not uncommon to have as many as five homicides and twenty felonies each month. But with the shift to an increasingly licit economy, the processes of coca eradication and the ADP have brought with them a reduction in violence, stabilization of incomes and increased access to highly valued services, such as health care and education. Although incomes may be lower on the average today, citizens are safer, and they value such a change greatly.

Nevertheless, this transition is not complete. Moving towards a licit economy and safe environment does not simply involve new crops and markets; parallel and purposeful

changes must also occur in a number of key development areas, including the justice sector. One important constraint to making this transition complete involves increasing access to justice. Although much of the ADP target area population has some degree of access to courts that can process cases at the lowest level, a large portion of the areas' populace finds access to courts that process higher level cases difficult. In the past, SpO5 collaborated with SO1 to co-finance development of conciliation centers for alternative dispute resolution (ADR), used primarily for processing property dispute, debt and child support cases. However, the ADR initiative collapsed because Peruvian law did not make this process mandatory.

Another concern is that, while the lower level courts that do exist are able to process civil and low level criminal cases, access by citizens to higher level courts to prosecute homicides and felonies, including cases of narco-trafficking, is lacking. Given the fact that a significant number of such violations occur, effective processing of such cases requires a state prosecutor, among other additions. A state prosecutor is presently not located in the area.

### *Recommendations*

- Explore potential support for establishment of criminal courts with prosecutors via State/ARI and SO1. As part of this effort, consider carrying out an initial needs assessment and feasibility study as a preliminary activity to making a substantial investment.
- Additional information must be considered in deciding on further changes in programming. Remaining questions include: Are there currently plans to revive the conciliation centers? What is the current status of Peruvian law concerning ADR, child support, violence against women (VAW), etc. that would provide incentives/demand to use these services? What was the result of the recent gender and legal rights assessment (mentioned by several interviewees) that the mission planned to have carried out in the first quarter of FY2002-2003?

### **Anticorruption Activities**

ADP support for strengthening local governments includes efforts to increase the transparency and accountability of administrative and fiscal procedures. As a result, local citizens have greater access to information on what their local government does and how it does it. Furthermore, they also are more aware of their right to access such information and are increasingly able to monitor and participate in local government processes.

Nevertheless, this process is not yet finished. Not all local governing bodies employ such transparent procedures for a variety of reasons, be it lack of knowledge, resources or sufficient initiative or demand to do so. Similarly, not all citizens have the knowledge or time to adequately monitor what their local government does with their resources. This is



especially true among the more marginalized members of the population, e.g., poor, women or indigenous peoples.

In addition, corruption cannot be eliminated from local government in the coca-growing areas until prosecutors are available to identify and build cases against those government officials who are also narco-traffickers or who benefit from the drug based economy.

### *Recommendations*

- The justice sector recommendation re: criminal courts, as described above, has clear potential for anti-corruption impact as well, as it would better equip these zones to investigate and prosecute those narco-traffickers and their supporters existing in or with ties to local government.
- At the same time, recommendations to promote broader participation in local decision making, as described below, have the potential to impact corruption by increasing transparency and accountability on the supply side and citizen vigilance on the demand side of the equation.

## **Decentralization of Technical and Administrative Capability of Local Governments**

As discussed earlier, SpO5 promotes decentralization in a number of ways. LGIP support does not simply expand local infrastructure, it does so by strengthening local technical capacity for more effective service delivery, administrative capability and citizen participation. This is done both with individual local governments and, increasingly over time, with the larger municipal associations. Furthermore, LGIP realizes that local capacity alone cannot maintain a strong local government; rather, it requires significant national efforts to devolve not only administrative capacity and responsibility, but also financial resources and authority to the local level as well. The current policy initiatives planned by Contradrogas provide such an impetus, thereby responding to the democracy sector assessment recommendation to support this process.

Similarly, LEA includes local government in its participatory planning process, and consultative committees link local level representatives of national entities and the private sector to further support local economic development initiatives. Local governments learn this approach, thereby strengthening economic development capability at the same time.

The issue of road construction and maintenance provides an example of the importance of one such cross-sectoral linkage, i.e., that between governance and economic growth, and the associated potential of local government to stimulate the economy. First, there exist at least two discrete and opposing approaches to prioritizing where such roads should be constructed. The new contractor must increase the incomes of specific, ongoing ADP target communities. Yet these roads will not necessarily reflect the priorities of the participatory planning process

or the general population of the regions involved. Nor will they have the potential to increase the incomes of the most households overall. One related and very important issue to yet resolve is how the CARE-led participatory planning process will synergize, if at all, with development of “official” strategic and operational plans for municipalities or provinces.

Another road-related issue for the ADP, perhaps the biggest strategic economic issue in the entire region, concerns the proposed marginal highway and its high economic potential to significantly diversify the region’s economy by better connection to the rest of the country. However, the region alone lacks the information, resources and authority to undertake its construction. AMRESAM’s consultative committee has formed a working group, in collaboration with the Ministries of Finance and Transportation, on this issue. SpO5 funded an initial engineering and environmental study as a first step for the working group to ask for money from banks, the government and donors. The working group, in turn, produced a video to present to Congress concerning the importance of this road and its economic potential.

Virtually all Mission SOs have aspects of their programs with clear connections to local governments, at one level or another, or provide the potential to forge collaboration among the private sector entities with whom they work and the associated local governments in the region. Mission efforts to synergize across SOs will have great potential to strengthen local government. As discussed earlier, the Mission’s local government working group has begun to move toward this end by developing a common conceptual framework. Given the likelihood of increasing decentralization of power, administrative responsibilities and resources across the country’s development sectors, ADP communities and other local governments will soon need to handle greater volume and diversity of technical and administrative functions related to economic growth, health, environment, education, etc. The role of the mayor and/or professional staff as managers thus becomes increasingly important.

### *Recommendations*

- Facilitate the process of public dialogue on decentralization, in collaboration with the parallel activities of the Congress and Ministry of the Presidency.
- Support decentralization implementation with technical support to Congress and the local level for defining specific processes in each sector and building corresponding local capacity required. The Ministry of Education’s efforts to do this could be used as input (Maldonado 2001, personal communication).
- Collaborate with SO1 to strengthen participation, transparency and accountability in municipal strategic and operational planning processes. Include interwoven aspects to increase gender equity throughout, including heightened outreach to women’s organizations and leadership development (currently part of AMRESAM approach).

- Explore urban management models among USAID partners, e.g., ICMA, as conceptual frameworks for linking Mission sectors. Look also for relevant, multi-sectoral MIS and PMP examples to facilitate the programming side of the Mission's efforts at the local level. Keep close track of the SpO7: Peru-Ecuador Border activity's experience to provide additional and highly relevant input to this process.

### **Promoting Broader Public Participation in Local Decision Making and Community Development in ADP Areas**

Previously, appointed (non-elected) representatives of national government entities (los sectores) at higher levels were those who bore primary authority and responsibility for determining the course of local development. Now, through participatory planning in both LEA and LGIP components, increasing numbers of local stakeholders at local levels, including greater numbers of elected officials, have both the opportunity and the capability to participate in setting priorities and in monitoring progress at achieving them. For example, LEA activities strengthen farmers' organizations and promote participatory planning in collaboration with other key public and private stakeholders. As a result, new local stakeholders are brought into the decision making process. Similarly, LGIP support to strengthen the capacity of elected local officials emphasizes the importance of eliciting broad public participation in the development of annual plans specifically and as a means to generate more effective local policies and programs in general. Complementary efforts strengthen capacity in other key local organizations to contribute to this process and to monitor the government's performance in keeping its commitments to the public.

Ultimately, the intention is that the participatory planning process will also help determine areas where improved public policy or legislation at the national level can help alleviate current development constraints and heighten development incentives in ADP areas. Local entities such as the municipal associations and consultative committees also have the potential to advocate such policies to the Congress and/or other national decision makers. Relevant legislation and policy may include those to: decentralize administrative and financial functions to local governments; clarify the definition of legal coca production and eradication regulations; allocate financial resources for rural roads maintenance; implement decentralized health and education services; support forestry and agricultural production; and strengthen local organizations.

The recommendations listed above regarding support for the decentralization of technical and administrative capability of local governments suggest actions to increase opportunities for public participation, largely from the supply side, i.e., that of the local governance and service providers. Complementary actions on the demand side of the equation can serve to stimulate this process at local and national levels and can better equip local citizens to monitor the government's progress and effectiveness in carrying out decentralization efforts. While implementation plans for current activities suggest many promising actions to increase such participation, the program would, nevertheless, benefit overall from strengthening the gender dimension of both the participatory process and leadership development.

## *Recommendations*

- Support leadership training for women in integrated producer groups. Facilitate commodity specific organizations for women, focusing on the products and processes falling within the existing division of labor.
- Explore opportunities to build community participation components on existing solidarity groups/village banks, currently part of the Emergency Programs microcredit activities. Leadership and advocacy capacity building could complement technical training in those areas considered most important by group members, e.g., health, education or environment, using an approach similar to that of the Gregoria-Apaza activity in Bolivia, and developing along the lines of ReproSalud in Peru, but with multiple sectoral options, depending on the priorities of the groups involved.
- Require a gender perspective for all small grant applications. Evaluate incoming proposals based on their gender capacity and approach. If incoming proposals fall short of expectations, consider ear-marking a portion of the small grants budget for women-focused activities.
- Build on the gender participation lessons identified in the recent TOR for “Empoderamiento de las mujeres en procesos e instituciones de toma de decision local y nacional: lecciones aprendidas en proyectos de USAID/Peru” (“Women’s Empowerment and Local and National Decision Making: Lessons Learned in the Projects of USAID/Peru”).

## **Incorporating a Gender Perspective in SpO5**

This section will pull together and expand on the above findings related to gender issues. The following recommendations will then set the stage for an SpO5 gender strategy. Overall, SpO5 is to be commended for its attention to incorporating gender disaggregated data into the PMP (USAID/Peru 2001e). At the same time, the assessment found that the gender focus varies greatly across activities in the ADP.

LEA activities, which focus on farmers’ organizations and associated efforts to increase incomes of farmer households, make limited mention of women customers in project documents, with the activity’s Technical Plan noting only that: “Planning and monitoring will take account of the need for benefits to reach ethnic minorities, in particular women and children (CARE 2000:6).” However, a gender dimension is certainly implied in several aspects. For example, household analysis will work to understand and build on existing roles of household members, thus leading to the inclusion of both women and men in most cases. What is not clear is whether these implications will be made explicit on the ground and how lower level gender related results will be monitored throughout.

In addition, a microcredit program is described in the CSP as part of an “[e]mergency humanitarian component . . . designed to specifically offset short-term social and economic

consequences of coca eradication/abandonment and assist at-risk populations to participate in sustainable, licit development.” Microcredit activities to date have largely reached more women customers than men, but the reason is not clear. Food assistance, accompanied by nutritional assistance and maternal education and all part of the emergency program, will address immediate health and nutritional crises, and have a high potential for equitable gender impact (USAID 2001e:104). However, both microcredit and food activities are largely near term poverty alleviation approaches, but not necessarily facilitators of long term economic growth and sustainability for participant households. Project documentation does not clarify how women will benefit compared to men in the longer term development aspects of the program, i.e., how women too will progress along the emergency to development continuum.

Nevertheless, USAID staff managing LEA (Action Team 1) have a number of clear ideas concerning how women can be targeted in the process of working with farmers organizations. It is possible that the contractor will already have similar ideas and plans to incorporate them. (See recommendations below.)

LGIP activities, on the other hand, do explicitly address both women and men customers in the planning workshops for local authorities, including an innovative course for leadership development with a gender focus. Activities also provide outreach and strengthening to women’s organizations to facilitate more effective participation in local development efforts. Findings of the TOR for “Empoderamiento de las mujeres en procesos e instituciones de toma de decision local y nacional: lecciones aprendidas en proyectos de USAID/Peru,” will allow the LGIP to further analyze how effective they have been in accomplishing such results and provide an opportunity to make possible program adjustments to improve their effectiveness at doing so.

### *Recommendations*

The following recommendations will build on existing strengths in the PMP and emphasize multiple points of entry for amplifying the ADP gender-based results. Recommended actions are focused largely around the processes of strategic and operational planning, organizational strengthening and leadership development, in an effort to use local resources as equitably and effectively as possible.

- Building on this existing strength of the Mission’s PMP, the next step will be to develop gender disaggregated targets for these indicators as well. In addition, customer surveys should take account of intrahousehold dynamics and differences in decision making among men and women household heads, taking care to interview men and women separately. Furthermore, inclusion of both women and men customers should be clearly articulated throughout the LEA implementation plan related to producer groups, in addition to short term microcredit, health and nutrition indicators.
- Support participation and leadership training for women in integrated producer groups. Facilitate commodity specific organizations for women, focusing on the products and

processes falling within the existing division of labor for women and/or on new technologies that women farmers may adopt. Encourage incorporation of women as full members of producer organizations—in contrast to their current status as “spouses only” (unable to become members unless their husband would die or otherwise leave them)—in statutes of the organization. Facilitate access to capacity building and technical assistance to better allow women them to more easily take the lead over specific committees, e.g., educational committees, as a step to further participation. Hiring a gender expert as part of the implementation team, along with a concerted effort to train women promoters in crop improvement, can facilitate this process (UNDCP 2001).

- Explore opportunities to build community participation components on existing solidarity groups/village banks, currently part of the EP microcredit, health and nutrition activities. Leadership and advocacy capacity building could complement technical training in those areas considered most important by solidarity groups, as well as health and nutrition committee members, e.g., health, education, environment, (This approach is similar to that of the Gregoria-Apaza activity in Bolivia and developing along the lines of ReproSalud in Peru, but with multi-sectoral options, depending on the priorities of the groups involved.)
- Require a gender perspective for all small grant applications. Evaluate incoming proposals based on their gender capacity and approach. If incoming proposals fall short of expectations, consider ear-marking a portion of the small grants budget for women-focused activities.
- Assure that consultative committees include women and women’s organizations.
- Build on the gender participation lessons identified in the recent TOR for “Empoderamiento de las mujeres en procesos e instituciones de toma de decision local y nacional: lecciones aprendidas en proyectos de USAID/Peru.”

## **Recommendations for Joint Programming between SpO5 and SO1**

A number of the recommendations listed above suggest joint programming with SO1. These include SpO5 activities linking with the following SO1 results:

- IR1.1: Increased citizen participation in the democratic reform process and oversight of key public institutions
- IR1.2: Increased responsiveness of elected governments to citizens at the local level in selected regions
- IR1.3: More effective, independent and representative Congress provides balance of power
- IR1.4: Justice sector acts with greater independence, transparency and efficiency

The full list of SpO5 activities recommended for coordination with SO1 is presented in Table 2 in Annex A.

## 2.5. LESSONS LEARNED FOR OTHER SO TEAMS

Each SO Team possesses a unique set of skills and experience, largely focused on their own specific sectoral areas of expertise. As a result, these teams evolve their own intra-group understanding of technical knowledge and programming approaches. Their specialization toward this objective increases impact. A challenge emerges when the SO Teams must communicate among one another, not only on how their own respective programs function, but also how they may better link to a common technical goal. The potential exists, yet each Team views the challenge from its own specialized perspective. By identifying these perspectives and describing their specific elements, particularly as they relate to democratic institutions and processes, it becomes possible to connect specific program elements with one another and with the ultimate Mission Goal.

Several useful lessons have emerged from both of the individual case studies:

- The dimensions of democracy analyzed for both SO4 and SpO5 varied from those dimensions proposed in the over-arching Synergy Matrix, as discussed in the opening section of this report. The categories chosen for analysis by the SO teams for their respective case studies do not correlate exactly with the “dimensions” of democracy identified by the working group, which constructed the matrix. The SO team analytical categories either combined several of the dimensions proposed by the Working Group, and/or they focused on specific and carefully targeted aspects related to their own sectoral objectives. They seem to be presenting overlapping dimensions of analysis based on those aspects of democracy most relevant to their own sectoral experience and perspective. For example, “community base natural resource management” from an SO4 perspective addresses citizen participation, local governance, decentralization and accountability in the synergy matrix. In another example, “administration of justice” from an SpO5 perspective involves both respect for human rights and rule of law.
- Working through SO Team and Partner understanding of these dimensions and the contributions of their own programs therein breaks the analysis into smaller conceptual units or sub-results. By breaking these elements down to the IR and sub-IR levels, a clearer description of support for democratic institutions and processes emerges than would be apparent by starting with the dimensions of the matrix itself (i.e., as the latter terms are not always well understood across SOs).
- This effort results in identification of the lowest common denominator in program elements across SOs. Herein lies the potential for the generation of a shared results framework and indicators. For example, for “respect for human rights” in the synergy matrix, if we examine the contributions to democratic process and institutions across SOs (Table 4, row one, in Annex A), lower level results or components in an index might

relate to: key democratic reforms, fulfillment of basic needs, indigenous rights and participation, attention to violence against women, women's rights and participation issues, and alternative dispute resolution support. Similar indices could then be constructed for each row of the synergy matrix.



### 3. THE SYNERGY MATRIX: UNDERSTANDING CHALLENGES AND OPPORTUNITIES FOR SYNERGY ACROSS MISSION PROGRAMS

Analysis of the SO4 and Sp5 case studies indicates two examples of unique sectoral perspectives on exactly what about democracy is essential to the accomplishment of SO results. Analysis also reveals a lack of common understanding across the dimensions of democracy identified in the synergy matrix. In order facilitate agreement on definitions of each dimension, the following section and associated Annex D will explore common definitions for all of these: respect for human rights; citizen participation; local governance; accountability; decentralization; rule of law; transparency/information; advocacy; and the cross-cutting themes of equity/inclusion and gender, human capacity development and environmental stewardship. To arrive at a common understanding of these terms and a thereby a unifying Mission strategy, this section will propose a process for finalizing the framework and securing SO team commitments to specific democracy building targets across SOs.

#### 3.1. THE DIMENSIONS OF DEMOCRACY

Annex D presents definitions for each of the dimensions of democracy to explore how these dimensions might be operationalized across Mission programs. The definitions presented here are offered as substantive input for the SO Teams and the Democracy Working Group to contribute to finding agreement across Mission programs.

After reviewing an array of definitions of democracy itself used by academics, USAID operating units and USAID partners, the most complete and useful definitions emerged from USAID's Handbook of Democracy and Governance Indicators (USAID/G/DG 1998; hereafter "Indicators Handbook").<sup>7</sup> The strength of these definitions lies in the fact that they are: based on actual indicators, used and tested by several USAID Missions (including Peru); clearly worded; reflect input from all of the aforementioned actors (academics, USAID staff and partners); and sufficiently comprehensive for application in the domain of international development:

The indicators included in this handbook were developed by four working groups, each responsible for one of the Agency's four democracy objectives: (1) strengthened rule of law and respect for human rights; (2) more genuine and competitive political processes; (3) increased development of politically active civil society; and (4) more accountable and transparent government institutions. The groups included USAID officers, NGO staff members, performance measurement experts, InterAmerican Development Bank and World Bank staff, and others interested in improving monitoring systems for democracy programs. Starting with the democracy-governance portion of the Agency's strategic framework, each working group developed or refined a hierarchy of objectives against which progress can be

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<sup>7</sup> All parenthetical page numbers refer to this Handbook, as referenced in Annex B: Documents Reviewed, at the end of this report.

measured. Then indicators were developed to capture progress in meeting each objective in the framework (p.v.).

Each dimension listed on the Peru synergy matrix corresponds to one of the objectives selected from this larger USAID framework. Annex D provides excerpts of corresponding definitions, taken primarily from this USAID handbook. Each definition is followed by examples of current Mission programs that contribute to that dimension of democracy<sup>8</sup>. These concepts capture many of the specific aspects of democratic processes and institutions that USAID/Peru intends to promote and can serve as a point of departure for arriving at a cross-Mission consensus on these terms, as described in the next and final section of this report.

### **3.2. CONCLUSIONS AND NEXT STEPS: CROSS-SECTORAL CHALLENGES AND OPPORTUNITIES FOR SYNERGY**

The case studies of SO4 and SpO5, when taken in the context of the new research on cross-sectoral programming toward democracy goals, reveal that different SO teams have varying understandings of the dimensions of democracy and the units of analysis for measuring their own contributions to the same. For example, the categories requested for the analysis of SO4 did not correspond clearly to the dimensions of democracy identified on the Synergies Matrix, as illustrated in Table 1, Part B (Annex A). In addition, examination of both USAID and other definitions of these dimensions showed that these dimensions themselves frequently overlap.

Nevertheless it is possible to sort out the contribution of specific sub-IRs to a given dimension. The case study of SO4 provides a useful example for how this might be done, as illustrated by Table 3. If we increase the detail of this table to include more specific activity results and indicators that measure this contribution, it might look something like Table 4, which identifies specific results for each SO that correspond to a dimension in the matrix. By comparing result and indicator sets across the Mission portfolio, it is possible to generate a set of results and indicators to link with each dimension in the over-arching Mission Synergy Matrix, and thus be cross-programmed and measured toward completion of the Mission democracy goal.

A subsequent step would be to reach consensus on the matrix itself or an edited version, along with the indicators that can be shared across SO programs. To do this, each SO Team will need to conduct an exercise similar to those carried out by SO4 and SpO5. The effort could be made more efficient, however, by integrating some of the lessons learned on these first two cases. The remaining teams, which focus on economic growth, population, health, nutrition, environment, girls' education and border issues, would then:

- Focus initially on Table 4 to begin the process;

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<sup>8</sup> This listing of Mission examples for each dimension is not intended as comprehensive. All SOs and IRs contributing to a given dimension are noted in Table 4 (Annex A).

- Edit table contents for their SO program, adding specific activities and indicators linked to each applicable dimension; and
- Arrive at commitments from each activity team in terms of common indicators and performance targets for the remainder of the strategic plan.

After completing this major step in the process, it will be possible to identify the dimensions where current emphasis and potential synergy exist. For these dimensions, it will be necessary to arrive at a draft Mission-wide set of results and indicators for each. This draft will need to be taken back to the SO Teams for comments and final commitments. Based on one or two cycles of such feedback, it should be possible to finalize an actual strategic framework for the Mission Goal.

The Mission could reduce the number of dimensions requiring cross-sectoral synergy by selecting those that would have the greatest contributions across SOs. Among these, the Mission should prioritize those dimensions identified in the 2000 democracy assessment and still deemed relevant today, i.e., those program dimensions with the greatest potential to serve as a check against the top-heavy balance of power existing in the executive branch of the government. These include support to strengthen government institutions and CSOs that relate to:

- The justice sector and human rights, particularly with the Human Rights Ombudsman and alternative dispute resolution;
- Civil and political society, especially intermediary-level organizations capable of aggregating and representing the diverse interests of the citizenry;
- The legislative sector, following through with assessment and recommendations for strengthening Congress; and
- Decentralization and local government, with an emphasis on initiatives to increase local participation in decision making, facilitate strategic planning and assistance to resource generation capacity; strengthen select mayors organizations, and stimulate national policy debate on decentralization)(paraphrase USAID/Peru 2000 and G/DG:3-7).

Among these, capacity building efforts should address accountability issues at local, regional and national levels. In addition, alternative dispute resolution may be an important recourse from groups to address conflicts in accountability monitoring and enforcement.

Looking again at Table 4, the Expanded Synergy Matrix, the current set of Mission programs contributing in all of the areas highlighted in the 2000 democracy assessment can be identified. Correspondence is fairly straightforward. Mission support for four variable sets—citizen participation, advocacy, decentralization, and local governance—is currently significant and for the most part need only be coordinated across SOs. For decentralization in particular, it might be useful to keep in mind the approach offered by a partner of SpO5, who

recommended that USAID support decentralization implementation with technical support to both Congress and the local level to: (1) define specific processes of importance in each sector; and (2) build corresponding local capacity required to exercise such rights and responsibilities at the local level. The Ministry of Education's efforts to do this could be used as input (Maldonado 2001, personal communication). Additional SO Team work across the Mission would provide obvious potential for sequencing and synergy as local government and national efforts will touch on all the program sectors in one way or another.

Moving on to a third variable on the list above, while program support for both accountability and transparency may be integrated into additional SOs as part of strengthening institutions and organizations, such integration was not readily apparent in the documents reviewed for this assessment. Therefore, more information will be needed to describe how a number of additional SOs are approaching these, or, if not, why this is not advisable.

For the last variable on the priority list, rule of law, some work with the justice sector has begun and is likely to have most relevance for SO1. However, SO4 currently provides support for alternative resolution concerning resource conflicts and SpO5 has expressed an interest in support for access to higher level courts for alternative development communities. Furthermore, SO7 supports "Increased Respect and Protection of Rights of Border Population, Particularly those of Women and Indigenous People" via supports for rights education and mechanisms for protection (USAID/Peru 2001d).

Finally, it is important to point out that the process described in this section will provide an ideal opportunity for the Mission to develop additional results or indicators measuring equity and inclusion at the reporting level, especially concerning women and indigenous populations in both civil society and local government, as described for each case study examined earlier.

The case studies each demonstrate significant contributions to the expansion of sustainable opportunities for improved quality of life of Peruvians through democratic institutions and processes. However, the matrix must be further operationalized to lower result levels to adequately capture current contributions across SOs. Table 4 represents the potential for capturing impacts on each dimension across the current results framework, but at the sub-IR level. Mission teams need to decide to what degree they can "buy-in" to the current Table 4 version of this framework, and what DG matrix dimension sub-results and indicators will best capture results across SOs. Each SO team must, at the same time, commit to target performance levels according to a Mission-wide indicators.

To arrive at this final framework, each Mission SO team would carry out the following steps. First, teams should review the Table 4 column pertaining to their SO via a facilitated process. For each cell in that column, they must examine the way these aspects of the program (corresponding activities) impact the dimension with which it is associated in column one. Definitions of each dimension, as provided in Annex D, may be assessed, adapted and revised to fit the given SO program. Then, each component in that specific definition can be

viewed as a potential sub-result, with applicable indicators and targets categorized and altered to fit a given dimension.

The Democracy Working Group can then themselves enter a facilitated workshop in which they will interact with the resulting PMP drafts for each SO as a cross-sectoral and potentially synergistic group of decision makers that can, in turn, make decisions on the final draft of the PMP. The end result of this exercise would be a Mission-wide PMP that captures current and future program contributions to the Mission goal, foresees needed alterations in current plans, and proves an efficient way of doing so.



**ANNEX A**  
**TABLES**





Table 1: Analysis of Democracy—Environment Linkages

MISSION GOAL: to promote the expansion of sustainable opportunities for improved quality of life of Peruvians through democratic institutions and processes	SO4: STRENGTHEN ENVIRONMENTAL MANAGEMENT FOR PRIORITY AREA <sup>9</sup>				
	DECENTRALIZED POLICY	INSTITUTION BUILDING	CBNRM	LOCAL DEMAND ENV. SERVICES	HUMAN RIGHTS
<b>PART A. LINKAGES BETWEEN SO1 AND SO4</b>					
SO1: DEM. PROCESSES AND INSTITUTIONS STRENGTHENED IN CRITICAL AREAS					
SO1 Indicators <sup>10</sup>	1.(a)		1(b)		1(a)
IR1.1: INCREASED CITIZEN PARTICIPATION IN DEMOCRATIC REFORM AND OVERSIGHT	<p>Policy development, implementation and enforcement via:</p> <p>1) SENREM work with CONAM collaboration with local stakeholders via CARs and regional action plans and via SPDA strengthening capacity of policy researchers to develop and reform policy;</p> <p>2) BIOFOR work with INRENA, related ministries, and local stakeholders to develop policy and management plans;</p>	SENREM capacity building and T.A. for organizational and technical strengthening to SNA	<p>Marked efforts noted in interviews at local-most program or project levels, but not consistently noted in reports or apparent in indicators examined for this study;</p> <p>Less clear attention to this issue in terms of vertical linkages of local experience to institution and policy impacts = SENREM and BIOFOR.</p>	<p>Training and advocacy in the areas of water and sanitation, solid waste collection and disposal, and air contaminants;</p> <p>Includes both SENREM and even more so EH and IDEA activities;</p> <p>Concerns essential aspects of decentralized policy and programming for local governments in tangible forms that are understandable and important to local</p>	<p>Strengthens rights of participating indigenous populations to environmental information, participation in environmental impact assessments, healthy environment, cultural practice and local decision making on governance and land use issues;</p> <p>e.g., via BIOFOR work on zoning and management plans</p>
					<p>Gender approaches integrated at local-most program or project levels, but not consistently noted in reports or apparent in indicators examined for this study;</p> <p>Less clear attention to this issue in terms of vertical linkages of local experience to institution and policy impacts = SENREM and BIOFOR.</p>

<sup>9</sup> Analytical categories under SO4 include those requested in the SOW for Task 2a plus “Equity/Inclusion” (USAID/Peru 2001b).

<sup>10</sup> Indicators refer to those listed in SO1 SOAG (USAID/Peru 2001c).

SO4: STRENGTHEN ENVIRONMENTAL MANAGEMENT FOR PRIORITY AREA <sup>9</sup>						
MISSION GOAL : to promote the expansion of sustainable opportunities for improved quality of life of Peruvians through democratic institutions and processes	DECENTRALIZED POLICY	INSTITUTION BUILDING	CBNRM	LOCAL DEMAND ENV. SERVICES	HUMAN RIGHTS	EQUITY/ INCLUSION AND GENDER
	3) EH Activity research on policy and implementation resulting in recommendations for local and national levels.			citizen = opportunity to see democracy in action and learn value;  Efforts to stimulate demand for local services → advocacy for increased service provision, transparency and accountability → increased opportunities and improved quality of life		
IR1.1. Indicators	1.1.(a), 1.1.(c)(c)		1.1(c)	1.1(c)	1.1(c)	1.1(c)
IR1.2: INCREASED RESPONSIVENESS ELECTED GOVTS. TO CITIZENS AT LOCAL LEVEL IN SELECTED REGIONS		Includes private, not-for-profit and public local institutions. Strengthening of national institutions in the areas of public awareness, participation and consultation and environmental education. Provides support / capacity building via:  1) SENREM, BIOFOR, EH to the national level government, e.g., CONAM, INRENA, DIGESA and other Ministries to incorporate participatory decision	Contributes to local government strengthening and environmental policy decentralization process, especially among marginal populations, including rural poor, indigenous peoples, and women:  BIOFOR is clearest example via management planning process;  CBNRM provides one of most comprehensive approaches to greater / wider inclusion of marginalized groups	Same as above (but on the supply side vs. demand). Training and advocacy in the areas of water and sanitation, solid waste collection and disposal, and air contaminants:  Includes both SENREM and even more so EH and IDEA activities;  Concerns essential aspects of decentralized policy and programming for local governments in tangible forms that are understandable and important to local	Strengthens rights of participating indigenous populations to environmental information, participation in environmental impact assessments, healthy environment, cultural practice and local decision making on governance and land use issues;  e.g., via BIOFOR work on zoning and management plans	Gender approaches integrated at local-most program or project levels, but not consistently noted in reports or apparent in indicators examined for this study;  Less clear attention to this issue in terms of vertical linkages of local experience to institution and policy impacts = SENREM and BIOFOR.

SO4: STRENGTHEN ENVIRONMENTAL MANAGEMENT FOR PRIORITY AREA <sup>9</sup>						
MISSION GOAL : to promote the expansion of sustainable opportunities for improved quality of life of Peruvians through democratic institutions and processes	DECENTRALIZED POLICY	INSTITUTION BUILDING	CBNRM	LOCAL DEMAND ENV. SERVICES	HUMAN RIGHTS	EQUITY/ INCLUSION AND GENDER
		<p>making procedures;</p> <p>2) SENREM, BIOFOR, EH to regional and local level governments, e.g., CARs, management planning, pilot project activities; and</p> <p>3) SENREM, BIOFOR, EH to the private sector organizations at multiple levels, including small grants to local public- private consortia of government and NGOs, universities, CBOs, business and/or industry. Also SENREM support SNA as umbrella organization of environmental NGOs, or support for small grants</p>		<p>citizen = opportunity to see democracy in action and learn value;</p> <p>Efforts to stimulate demand for local services → advocacy for increased service provision, transparency and accountability → increased opportunities and improved quality of life</p>		
<b>IR1.2 Indicators</b>		<b>1.2.(a), 1.2.(b)</b>	<b>1.2(a)</b>	<b>1.2(a), 1.2(b)</b>	<b>1.2(a), 1.2(b)</b>	<b>1.2(a), 1.2(b)</b>
IR1.3: MORE EFFECTIVE, INDEPENDENT AND REPRESENTATIVE CONGRESS PROVIDES BALANCE OF POWER		Potential to include new activity for technical assistance to Congress to increase access to information and analytical support on environmental legislation. Current				

SO4: STRENGTHEN ENVIRONMENTAL MANAGEMENT FOR PRIORITY AREA <sup>9</sup>						
MISSION GOAL : to promote the expansion of sustainable opportunities for improved quality of life of Peruvians through democratic institutions and processes	DECENTRALIZED POLICY	INSTITUTION BUILDING	CBNRM	LOCAL DEMAND ENV. SERVICES	HUMAN RIGHTS	EQUITY/ INCLUSION AND GENDER
		topics of importance include the transoceanic highway, urban environmental health concerns, and resource rights, among others.  Support to private sector watchdog organizations, e.g., SNA, also serves to strengthen Congress indirectly by demanding accountability on environmental issues and by keeping track of the Executive Branch performance as well.				
IR1.3 Indicators		1.3(b), 1.3.(c)				
IR1.4: JUSTICE SECTOR ACTS W/ GREATER INDEPENDENCE, TRANSPARENCY AND EFFICIENCY		SENREM, BIOFOR, EH assistance for environmental dispute resolution at national and local levels.	Support for environmental dispute resolution contributes to local government strengthening and environmental policy decentralization process, especially among marginal populations, including rural poor, indigenous peoples, and women:  BIOFOR is clearest example via management planning			Gender approaches integrated at local-most program or project levels, but not consistently noted in reports or apparent in indicators examined for this study;  Less clear attention to this issue in terms of vertical linkages of local experience to institution and policy impacts = SENREM and BIOFOR.

SO4: STRENGTHEN ENVIRONMENTAL MANAGEMENT FOR PRIORITY AREA <sup>9</sup>						
MISSION GOAL : to promote the expansion of sustainable opportunities for improved quality of life of Peruvians through democratic institutions and processes	DECENTRALIZED POLICY	INSTITUTION BUILDING	CBNRM	LOCAL DEMAND ENV. SERVICES	HUMAN RIGHTS	EQUITY/ INCLUSION AND GENDER
			process and procedures for enforcement.			
		1.4.(a) re: conflict resolution	1.4(a) re: conflict resolution			1.4(a)
PART B. SO4 PROGRAM ANALYSIS COMPARED TO DIMENSIONS OF DEMOCRACY FROM SYNERGIES MATRIX						
DIMENSIONS OF DEMOCRACY	Citizen Participation Accountability Decentralization Transparency / Information Advocacy	Citizen Participation Local Governance Accountability Rule of Law	Citizen Participation Local Governance Decentralization Rule of Law	Advocacy Transparency / Information	Respect for Human Rights	Citizen Participation
	Equity/Inclusion and Gender Environmental Stewardship	Human Capacity Development Environmental Stewardship	Equity/ Inclusion and Gender Environmental Stewardship	Equity/ Inclusion and Gender Human Capacity Development Environmental Stewardship	Environmental Stewardship	Equity/ Inclusion and Gender Environmental Stewardship

Table 2: Analysis of Democracy—Alternative Development Linkages

IR1.1: Increased citizen participation in the democratic reform process and oversight of key public institutions	<ul style="list-style-type: none"> <li>Explore opportunities to build community participation components on existing solidarity groups/village banks, currently part of the Emergency Programs microcredit activities. Leadership and advocacy capacity building could complement technical training in those areas considered most important by group members, e.g., health, education, environment, etc., similar to that of the Gregoria-Apaza activity in Bolivia, and developing along the lines of ReproSalud in Peru, but with multiple sectoral options, depending on the priorities of the groups involved.</li> <li>Require a gender perspective for all small grant applications. Evaluate incoming proposals based on their gender capacity and approach. If incoming proposals fall short of expectations, consider earmarking a portion of the small grants budget for women-focused activities.</li> <li>Build on the gender participation lessons identified in the recent TOR for “Empoderamiento de las mujeres en procesos e instituciones de toma de decision local y nacional: lecciones aprendidas en proyectos de USAID/Peru.”</li> <li>Collaborate with SO1 to strengthen participation, transparency and accountability in process of municipal strategic and operational planning.</li> <li>Include interwoven aspects to increase gender equity throughout, including heightened outreach to women’s organizations and leadership development (currently part of AMRESAM approach).</li> </ul>
IR1.2: Increased Responsiveness of Elected Governments to Citizens at the Local Level in Selected Regions	<ul style="list-style-type: none"> <li>Facilitate the process of public dialogue on decentralization, in collaboration with the parallel activities of the Congress and Ministry of the Presidency.</li> <li>Support decentralization implementation with technical support to Congress and the local level for defining specific processes in each sector and building corresponding local capacity required. The Ministry of Education’s efforts to do this could be used as input (Maldonado 2001, personal communication). Please note that this recommendation is also relevant to IR1.3 below.</li> </ul>
IR1.3: More Effective, Independent and Representative Congress Provides Balance of Power	<p>An additional area for collaboration would be that of Congressional strengthening. (Earlier recommendations did not address this, as it does not correspond to the TOR at any point until now.) In general, if Congress is to effectively contribute to balancing the power of the Executive Branch, it will require the technical capacity to research and develop effective policy and legislation related to a variety of concerns. One place to start would be in developing technical expertise related to the types of legislation that would better support ADP results, including:</p> <ul style="list-style-type: none"> <li>Clearer definition of legal coca production and eradication regulations;</li> <li>Allocation of financial resources for rural roads maintenance;</li> <li>Implementation of decentralized health and education services; and</li> <li>Decentralization of administrative and financial functions to local governments.</li> <li>Additional policy and regulations may be proposed concerning additional key issues as needed, e.g., forestry and agricultural production, public participation in local decision making and community development, and strengthening local organizations. Technical expertise could also be developed in these areas as well.</li> </ul>

IR1.4: Justice Sector Acts with Greater Independence, Transparency and Efficiency	
▪	Explore potential support for establishment of criminal courts with prosecutors via State/ARI and SO1. As part of this effort, consider carrying out an initial needs assessment and feasibility study as a preliminary activity to making a substantial investment.

Additional information available within the Mission would be important to consider in deciding on additional changes in programming: Are there currently plans to revive the conciliation centers? What is the current status of Peruvian law concerning ADR, child support, VAW, etc. that would provide incentives/demand to use these services? What was the result of the recent gender and legal rights assessment (mentioned by several interviewees) that the mission planned to have carried out in the first quarter of FY2002-2003?

Table 3: So#4 Activity Contributions To Democratic Processes, Institutions and Cross-Cutting Issues

DEMOCRATIC PROCESSES AND INSTITUTIONS STRENGTHENED	S04 ACTIVITIES				
	SENREM	BIOFOR	EH	IDEA	SISEM
Respect for Human Rights		✓			
Citizen Participation	✓	✓	✓		
Local Governance	*	✓	✓		
Accountability	✓			✓	
Decentralization	*	✓	✓		
Rule of Law <sup>11</sup>	*	*	*		
Transparency/ Information				✓	
Advocacy <sup>12</sup>	✓		✓	✓	
<b>CROSS-CUTTING ISSUES ADDRESSED</b>					
Equity/Inclusion and Gender <sup>13</sup>	✓	✓	✓		
Human Capacity Development <sup>14</sup>	✓	✓	✓	✓	
Environmental Stewardship	✓	✓	✓	✓	✓

KEY:

✓ = activity includes attention to variable

\* = activity attention to variable limited or sectorally focused

<sup>11</sup> Activities include some attention to conflict resolution.<sup>12</sup> Advocacy efforts focus primarily on increasing demand for environmental services at the local level, with some limited focus on national policy reform.<sup>13</sup> Activity designs incorporate consultation with vulnerable groups at the local level to determine zoning and management plans. Integration of gender approach less clear at the policy level.<sup>14</sup> Most activities include training processes and/or accompaniment. IDEA demonstrates provides clearest emphasis on HCD overall, however other activities do build capacity in government ministries.



Table 4: Synergy Matrix: Contributions to Democratic Processes and Institutions Across Strategic Objectives

MISSION STRATEGIC OBJECTIVES							
DEMOCRATIC PROCESSES AND INSTITUTIONS STRENGTHENED	SO1	SO2	SO3	SO4	SpO5	SpO6	SpO7
Respect for Human Rights	References below to “democratic reform process” and “key reform areas” include Respect for Human Rights, i.e., various sub-IRs in IR1.1, 1.3 and 1.4		IR 3.1.1 Services Are Responsive to Client Needs and Rights	IR 4.2.1 Environmental Policies and Technologies Tested and Adopted  Note: Includes protected area management planning and zoning that incorporates indigenous groups with respect for cultural rights	IR5.1.3. Improved Policy and Institutional Framework— Strengthened Capacity of Local Private and Public Institutions to Promote Development  Note: Includes attention to domestic violence and other human rights issues	IR 6.2: Girls’ Increased Access To and Retention in Quality Basic Education Services in Target Areas— Improved classroom environment, with emphasis on equity and democratic practices [SO1]	IR 7.3: Increased Respect and Protection of Rights of Border Population, Particularly those of Women and Indigenous People  IR 7.3.1: Increased Knowledge of Rights and Responsibilities  IR 7.3.4: Mechanisms for Rights Protection Established in Border Areas
Citizen Participation	IR1.1.2 Increase capacity of CSO networks representing traditionally marginalized groups to participate in democratic reform process	IR 2.3: Improved Policy Environment to Promote Economic Growth and Delivery of Quality Basic Services for the Extremely Poor — citizen’s	IR 3.1.1 Services Are Responsive to Client Needs and Rights — participation in local health committees  IR 3.2.2	IR 4.2.1 Environmental Policies and Technologies Tested and Adopted  IR 4.2.3 Procedures	Increased Public Participation in Community Development Processes  = important component of all USAID SpO5 sub-IRs 5.1.1,	IR 6.1: Improved Policy, Regulatory and Institutional Framework — A national network operating  IR 6.2: Girls’ Increased Access	IR 7.1.2: Strengthened local organizations with greater participation in development processes

DEMOCRATIC PROCESSES AND INSTITUTIONS STRENGTHENED	MISSION STRATEGIC OBJECTIVES						
	SO1	SO2	SO3	SO4	SpO5	SpO6	SpO7
	and oversight  IR1.1.3 Opportunities for public participation in democratic reform process and oversight increased  (IR1.3.2 Increased Congressional capacity to influence national policy in key reform areas and overall budget priorities = Governance and indirectly, with following IR, citizen participation)  IR1.3.3 Regular institutionalized mechanisms in place for Congressional member interaction with constituents	participation in PRAs	Community Structures in Place to Facilitate Healthy Behaviors – health committees	Developed to Inform National Institutions of Required Environmental Policy Changes	5.1.2 and 5.1.3	To and Retention in Quality Basic Education Services in Target Areas — Increased parental involvement in community efforts to improve education	

DEMOCRATIC PROCESSES AND INSTITUTIONS STRENGTHENED	MISSION STRATEGIC OBJECTIVES						
	SO1	SO2	SO3	SO4	SpO5	SpO6	SpO7
	IR1.3.4 Increased citizen access to information on Congressional operations, including legislative review process on key reform issues						
Local Governance	IR1.2.2 Capability of local government institutions to fulfill main functions increased in selected regions  IR1.2.3 Mechanisms for citizen participation in and oversight of local government decision making available in selected regions  IR.1.2.4 Public understanding of local government responsibilities,	IR 2.4.2 Increased Access to and Use of Quality Basic Health Services  IR 2.4.3 Increased Access to and Use of Water and Sanitation Services  IR 2.4.4 Increased access to and retention in quality basic education, especially for girls in targeted areas  IR 2.4.5 Increased	IR 3.1.1 Services Are Responsive to Client Needs and Rights  IR 3.2.2 Community Structures in Place to Facilitate Healthy Behaviors	IR 4.2.2 Strengthened Local Capacity to Interpret and Apply Policies (ordinances) and Practices	IR5.1.2 Improved Social Conditions Increased Access to Basic Services  IR5.1.3. Improved Policy and Institutional Framework  Strengthened Capacity of Local Private and Public Institutions to Promote Development	IR 6.3: Improved and Sustainable Local Capacity to Implement Policies and Programs that Support Quality Education for Girls in Target Areas  —Local Networks Established to Promote Girls' Quality Education  — Increased participation of local governments in quality basic education improvement	IR 7.1.1: Increased responsiveness of local governments to population needs  IR 7.1.2: Strengthened local organizations with greater participation in development processes  IR 7.2: Improved Basic Capacities for a Healthy and Productive Life – sub-IRs work with multiple local actors, including

DEMOCRATIC PROCESSES AND INSTITUTIONS STRENGTHENED	MISSION STRATEGIC OBJECTIVES						
	SO1	SO2	SO3	SO4	SpO5	SpO6	SpO7
	capacities and resources increased in selected regions	informed community participation in decision making at the local government level				efforts [SO1, SO2, SpO5, SpO7]	governments, on education, health, water and sanitation and environmentally sound production
Accountability  Note: Question marks designate cells where accountability may be integrated into additional SOs as part of strengthening institutions and organizations	IR1.3.1 Increase Congressional capacity to exercise oversight and ensure accountability of key public sector institutions	???	IR 3.1.3 Management Systems in Place to Improve Performance of Frontline Health Workers	???	IR5.1.3. Improved Policy and Institutional Framework— Strengthened Capacity of Local Private and Public Institutions to Promote Development  Note: IR5.1.3 includes strengthened capacity and mechanisms for Accountability	???	???
Decentralization	IR1.2.1 Constitutional and legal reforms devolve power and resources to the most appropriate local government level	IR 2.3.1 Increased Public Investment in Key Infrastructure  IR 2.3.2 Improved Business Regulatory	IR 3.3.1 Systems Strengthened to Improve Decision Making	IR 4.1.1 National Policies and Regulations Adopted  IR 4.1.2 Strengthened Capacity of Key	IR5.1.3. Improved Policy and Institutional Framework— Strengthened Capacity of Local Private and Public Institutions	IR 6.1.1 Increased Advocacy to Promote Policy and Program Reforms	

DEMOCRATIC PROCESSES AND INSTITUTIONS STRENGTHENED	MISSION STRATEGIC OBJECTIVES						
	SO1	SO2	SO3	SO4	SpO5	SpO6	SpO7
		Framework IR 2.3.3 Improved Public Investment in Nutrition, Health, Water, Sanitation and Education		National Public Sector Environmental Institutions to Develop and Implement Environmental Policies  IR 4.2.3 Procedures Developed to Inform national Institutions of Required Environmental Policy Changes	to Promote Development		
Rule of Law	IR1.4.1 Improved legal and procedural framework for merit-based judicial selection, retention and supervision applied  IR1.4.2 Improved management and administrative capacity of selected courts to				Support for law enforcement is not USAID result  Interest in ADR and work on legislation better defining legal for illegal production		IR 7.3: Increased Respect and Protection of Rights of Border Population, Particularly those of Women and Indigenous People

DEMOCRATIC PROCESSES AND INSTITUTIONS STRENGTHENED	MISSION STRATEGIC OBJECTIVES						
	SO1	SO2	SO3	SO4	SpO5	SpO6	SpO7
<p>Transparency / Information</p> <p>Note: Question marks designate cells where transparency may be integrated into additional SOs as part of strengthening institutions and organizations</p>	process critical cases	???					
	<p>IR1.1.1 Legal and procedural reforms allow for increased citizen access to government information</p> <p>IR1.1.4 Increased citizen access to information on key democratic reforms and operations of key government institutions</p> <p>IR1.4.3 Mechanisms exist within strengthened public sector institutions to ensure transparent judicial operations</p> <p>IR1.4.4 Improved dissemination of information about judiciary operations,</p>	???	IR 3.2.1 People Have Improved Knowledge	IR 4.3.1 Improved availability and Analysis of Environmental Information	???	???	???

MISSION STRATEGIC OBJECTIVES							
DEMOCRATIC PROCESSES AND INSTITUTIONS STRENGTHENED	SO1	SO2	SO3	SO4	SpO5	SpO6	SpO7
	reform process and oversight mechanisms						
Advocacy	IR1.1.2 Increase capacity of CSO networks representing traditionally marginalized groups to participate in democratic reform process and oversight  IR1.1.3 Opportunities for public participation in democratic reform process and oversight increased  Note: same sub-IRs as Citizen Participation above as type of participation emphasized is advocacy	IR 2.3: Improved Policy Environment to Promote Economic Growth and Delivery of Quality Basic Services for the Extremely Poor — advocating for improved investments — advocating for market access policy via PRAs	IR 3.3 Health Sector Policies and Programs More Responsive to Health Needs – via advisory services for policy deliberation and local organizations and consortiums conducting health policy research and advocacy	IR 4.3.2 Increased Knowledge of Decision-Makers on Environmental Issues and Mitigation Alternatives  IR 4.3.3 Increased Knowledge of Citizens on Environmental Issues  Note: Sub-IR 4.3.3 informs 4.3.2 via advocacy process		IR 6.1.1 Increased Advocacy to Promote Policy and Program Reforms	
CROSS-CUTTING ISSUES							

DEMOCRATIC PROCESSES AND INSTITUTIONS STRENGTHENED		MISSION STRATEGIC OBJECTIVES						
		SO1	SO2	SO3	SO4	SpO5	SpO6	SpO7
ADDRESSED								
Equity / Inclusion and Gender	IR1.1.1 Increased capacity of CSO networks representing traditional marginalized groups to participate in democratic reform process and oversight, among others	IR 2.1.1 Expanded Access to Business Development Services for Micro, Small and Medium Enterprises  IR 2.2.1 Increased Outreach of Microfinance Institutions' (MFI) Services  IR 2.4.4 Increased access to and retention in quality basic education, especially for girls in targeted areas	IR 3.1.1 Services Are Responsive to Client Needs and Rights  IR 3.2.1 People Have Improved Knowledge	IR 4.2.2 Strengthened Local Capacity to Interpret and Apply Policies (ordinances) and Practices  IR 4.3.3 Increased Knowledge of Citizens on Environmental Issues	Increased Public Participation in Community Development Processes  IR5.1.2 Improved Social Conditions  Increased Access to Basic Services	SpO6: Expanded Opportunities for Girl's Quality Basic Education in Targeted Rural Areas – entire program (IRs 6.1, 6.2, 6.3)	IR 7.3: Increased Respect and Protection of Rights of Border Population, Particularly those of Women and Indigenous People  IR 7.3.1: Increased Knowledge of Rights and Responsibilities  IR 7.3.4: Mechanisms for Rights Protection Established in Border Areas  In addition, IRs 7.1, 7.2 and 7.3 integrate strong attention to ethnic and gender issues throughout	IR 7.2: Improved Basic Capacities for a Healthy and Productive Life
	Human Capacity Development	IR 2.2.1 Increased Outreach of Microfinance	IR 3.1.2 Health Providers Have Competencies Required for	IR 4.1.2 Strengthened Capacity of Key National Public	IR5.1.3. Improved Policy and Institutional Framework—	Entire program = IRs 6.1, 6.2, 6.3		



DEMOCRATIC PROCESSES AND INSTITUTIONS STRENGTHENED	MISSION STRATEGIC OBJECTIVES						
	SO1	SO2	SO3	SO4	SpO5	SpO6	SpO7
		<p>Institutions' (MFI) Services— includes training</p> <p>IR 2.4.1 Improved Nutrition Practices – training</p> <p>IR 2.4.4 Increased access to and retention in quality basic education, especially for girls in targeted areas</p>	<p>Quality Service</p> <p>IR 3.2.1 People Have Improved Knowledge</p>	<p>Sector Environmental Institutions to Develop and Implement Environmental Policies</p> <p>IR 4.2.2 Strengthened Local Capacity to Interpret and Apply Policies (ordinances) and Practices</p>	<p>Strengthened Capacity of Local Private and Public Institutions to Promote Development</p>		<p>IR 7.2.1: Increased Access to Quality Education for Life</p> <p>In addition, sub-IRs 7.2.2, 7.2.3 and 7.2.4 incorporate significant training components throughout</p>
Environmental Stewardship		<p>IR 2.1.2 Expanded Use of Environmentally Sound Production Technology</p>		<p>Entire program = IRs 4.1, 4.2, 4.3</p>	<p>IR 5.1.1 Increased Household Income from Licit Economic Activities— Improved Forest and Natural Resources Management</p>		<p>IR 7.2.4: Improved Environmentally Sound Production Practices</p>



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**ANNEX C**

**INDIVIDUALS CONTACTED (FOR INTERVIEWS, FOCUS GROUPS  
OR MEETINGS)**



## **INDIVIDUALS CONTACTED (FOR INTERVIEWS, FOCUS GROUPS OR MEETINGS)**

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**ANNEX D**

**DEFINITIONS OF DEMOCRACY—DIMENSIONS AND CROSS-  
CUTTING THEMES**





## DEFINITIONS OF DEMOCRACY—DIMENSIONS AND CROSS-CUTTING THEMES

### Dimensions of Democracy in the Synergies Matrix

#### **Respect for Human Rights**

The following language from the Indicators Handbook lays out the parameters of international agreement on basic human rights:

*A rule of law that contributes to the building of sustainable democracy is one that protects basic human rights (as enumerated in the Charter of the United Nations, Universal Declaration of Human Rights, International Covenant on Civil and Political Rights, the Convention on the Elimination of Discrimination Against Women, and the U.S. Constitution, among others).” These basic international human rights norms specifically protect: “...the rights to life; freedom from torture or cruel, inhuman, or degrading punishment or treatment; freedom from discrimination on the basis of race, color, language, social status, or sex; freedom from incarceration solely on the ground of inability to fulfill a contractual obligation; freedom from retroactive criminal laws; the right to recognition as a person before the law; the right to freedom of thought, conscience, and religion; the right to participate in government; and the right to change of government (p.19).*

Aspects of human rights of particular importance for the Peru Mission program include protection of: electoral rights—the right to elect and be elected; participation in political processes; and access to education for girls, among others.

#### **Citizen Participation**

For most professionals working in the field of democracy and governance, the term “citizen participation” is quite specifically and inherently political:

*This refers to citizens’ engagement and participation in the political process. It is comprehensive, including party membership, volunteer service, voting, talking about politics and membership in NGOs which advocate for various policies. It represents the notion that political involvement goes far beyond the act of voting (p.60-61).”*

*Experience has shown that, to develop and sustain a democratic political culture over time, it is usually necessary to work from the bottom up by initiating civic action programs at the community level. Such programs are designed to engage the active participation of community members in initiatives aimed at meeting their needs and which they themselves help*

*identify, such as petition drives, cases brought before appropriate judicial authorities, public hearings, lobbying local government officials, or regional regulatory agencies, etc. (p.120-121).*

In a healthy democracy, citizens' participation is critical to their ability to monitor government policies and actions. The democracy assessment, carried out in 2000, identified the lack of effective checks and balances on the Executive branch as a serious hindrance to democracy and good governance. Even today, many months after the departure of Fujimori and with a democratically elected government in place, an inordinate concentration of power continues in the Ministry of the Presidency, with corresponding weaknesses notable in both the Legislative and Judicial branches. Assessment recommendations suggest key areas where these branches of government, along with elements of civil society who variously monitor and encourage the development of these branches, should be strengthened.

The assessment went on to identify a "...lack of effective, intermediary-level organizations capable of aggregating and representing the diverse interests of the citizenry in the political arena, proposing viable governance alternatives, and holding elected officials accountable (USAID/Peru and G/DG 2000:4). Schimpp and Kite, G/DG, were interviewed in September 2001 to discuss their analysis of how applicable the 2000 assessment was to the current situation in Peru. One of the primary points they highlighted was a persistent need to achieve vertical integration among levels of a variety of organizations and institutions, including municipal-national governments, civic and political organizations. Achieving participation alone may not affect the overall quality and stability of democracy in the country. Regional organizations, including those in environment, health, democracy sectors, etc., need substantive local and national linkages in order to be truly effective.

### **Local Governance**

The Mission has also advanced in its discussion of the term "democratic local governance," much as it has with the concept of "democracy." The team is moving toward a common cross-sectoral understanding of the concepts of "local government" and "local governance," as well as of that of the "decentralization" process which strengthens these. The Decentralization Working Group has also begun the arduous task of operationalizing what this means for the Mission strategy, as well as individual activities and PMPs for each (USAID/Peru 2001a). The group began with a definition offered in the Decentralization and Democratic Local Governance Programming Handbook (USAID/G/DG 2000):

*Democratic local governance:*

- The process of governing democratically at the local level
- Includes not only the machinery of government, but also the community at-large and its interaction with local authorities.

*Decentralization gives opportunities for local governments to:*

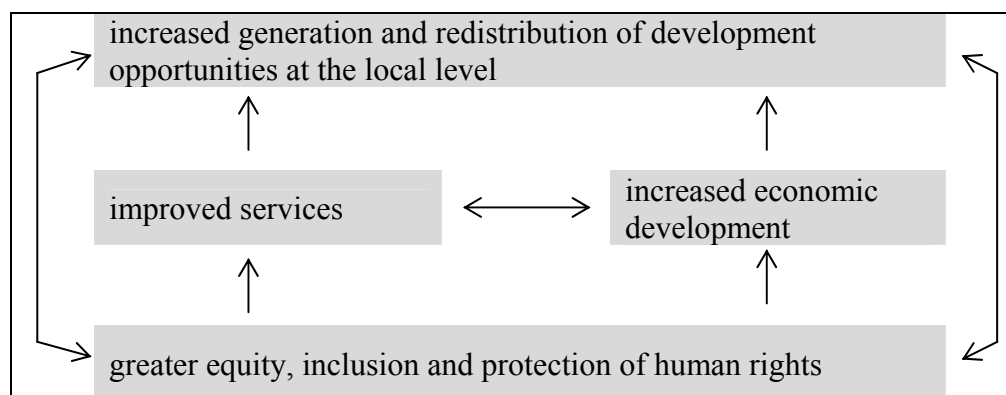
- gain authority, resources and skills,

- make responsive choices with citizen input, and
- operate effectively and accountably.

*Advancing the capacity of local governments to act effectively and accountably requires:*

- promoting the desire and capacity of civil society organizations and individual citizens to:
- take responsibility for their communities,
- participate in local priority-setting,
- assist in the implementation of those decisions, and then
- monitor their effectiveness(USAID/G/DG, 2000).

Additional discussion has ensued and nears a final consensus. One way to summarize the current thinking on those concepts would be to say that: “USAID/Peru defines decentralization as the political process of transferring economic, political and administrative power to local governments to manage, in collaboration with the business and nonprofit sectors, the generation and redistribution of development opportunities” (USAID/Peru 2001a with suggested revisions by author). USAID’s strategy approaches this process at the local level through supporting activities to strengthen local technical skills and management practices, in both public and private sectors, related to: improved environmental and health services; increased economic development; and greater equity, inclusion and protection of human rights. The simplified results framework might look something like the following, with arrows representing the improved management process of government, in clear collaboration with the business and nonprofit sectors, as supported by USAID/Peru:



As such, local government can be viewed as a system of sometimes competing but largely complementary resources. One of the ways to address the complexity of this system is via the local government’s management of the development planning process, in collaboration with the business and private sectors, including: strategic planning for the long run, usually on a five-year basis, and the development of operational plans each year. In leading this process, the local government thereby fulfills its responsibilities to seek out and meet citizen demands through the most efficient, effective and democratic means possible. Here also exist clear opportunities for each of the sectors to integrate their concerns into such plans and their implementation.

Examples of work in this area include: regional environmental committees (CARs) with public-private representation; grants to public-private consortia for environmental health activities; and a variety of highly participatory planning that infuses many Mission programs.

### **Accountability**

Merriam-Webster defines “accountability” as:

*1 a : the quality or state of being accountable; especially : an obligation or willingness to accept responsibility or to account for one's actions <public officials lacking accountability> b : subject to giving an account:*

*ANSWERABLE*

*2 : capable of being for : EXPLAINABLE*

*synonym see RESPONSIBLE*

It's synonym “responsible” provides a more satisfying definition of the concept, one with clear governance application:

*1 a : liable to be called on to answer b : (1) : liable to be called to account as the primary cause, motive, or agent <a committee responsible for the job>*

*(2) : being the cause or explanation <mechanical defects were responsible for the accident> c : liable to legal review or in case of fault to penalties*

*2 a : able to answer for one's conduct and obligations : TRUSTWORTHY b : able to choose for oneself between right and wrong*

*3 : marked by or involving RESPONSIBILITY or accountability <responsible financial policies> <a responsible job>*

*4 : politically answerable; especially : required to submit to the electorate if defeated by the legislature—used especially of the British cabinet*

The Indicators Handbook does not provide an actual definition, per se, but its references to “accountability” are closely interrelated to that of “transparency”:

*Accountability depends on governments taking full cognizance of, responding to, and being monitored by, organized public opinion.....Strengthening those institutional mechanisms that exist to encourage ethical behavior and prevent corruption and abuse is also important. Improved transparency...is one important way of doing this. Other checks on formal state actors include civil service reform (i.e., restructuring incentives and punishments), limits on civil servants' discretion, strengthened audits and investigative functions, more effective internal procedures for enhanced oversight, improved operating systems in government institutions, and building a public constituency against corruption (p.153).*

Thus accountability requires transparency, and visa-versa. For the organized public to effectively monitor state institutions they must have access to information and access to a process to present their complaint and legally pursue resolution of the issue. Transparency

and anti-corruption measures are essential to assuring accountability (see also discussion of “transparency” below).

Mission programs may focus support for increased accountability, including anti-corruption measures, on specific institutions of the government, e.g., the justice sector, Congress or selected local governments, or they may encourage civil society organizations to implement accountable and transparent practices in their own organizations and, from there, to work to ensure these qualities in key government institutions. At present, the Mission programs provide many examples of both approaches through: strengthening mechanisms and capacity for accountability for local public and private institutions in alternative development municipalities; efforts focused on the MOH and NGOs working in activity target areas; business development support for economic corridor enterprises, among others.

### **Decentralization**

As noted earlier, the Mission has also advanced in establishing a common definition for “decentralization”:

*Decentralization:*

A process of transferring power to popularly elected local (any level below central level) governments. Transferring power means:

- providing local governments with greater political authority
- increased financial resources (e.g., through transfers or greater tax authority)
- more administrative responsibilities

Brings about change in the operations of institutions.

Requires democratic local governance (USAID/G/DG, 2000).

The Indicators Handbook describes how this is accomplished through the devolution of power:

*The essential requirement for progress with devolution is that either by way of the constitution or other legal enactments, laws effectively transferring authority to elected local officials for a significant number of clearly defined governmental functions are passed and implemented, and respected by central government (p.153).*

*Enabling legislation and implementation by central government will not ensure devolution of power. Effective devolution will occur when elected local governments have the necessary level of qualified personnel and financial resources to have the capability to formulate, implement, and enforce policy decisions, provide services efficiently and responsible to*

*citizen needs, and contribute significantly to their own recurrent and capital expenditures (p.153).*

Additional language describes the interrelationship between “decentralization” and “local governance”:

*Decentralization of government authority and responsibility can increase the competence and responsiveness of public agencies by reducing the burden on those at the center and allowing those most affected by an issue to make decisions about it. It enables citizens who are most directly concerned to influence decision-making by putting the source of the decision closer to them. The main focus of many programs to support democratic decentralization is on encouraging the devolution of authority to elected local governments that are directly accountable and therefore primarily responsible to local citizens; improving the effectiveness and openness of local governments; and increasing community involvement in local government decision-making and service delivery (p.153).*

Thus, decentralization refers to the national level policy reform process that must occur as a precursor to strengthened and sustainable democratic local governance. Examples of support for such activity in the Peru Mission’s program include: support for policy, on multiple levels, that promotes participatory local planning, e.g., with INRENA, CONAM, Congress, Ministries of Health and Education, etc.

## **Rule of Law**

The Indicators Handbook’s definition of “rule of law” is also quite comprehensive:

*Laws establish the terms of reference for the social contract under which citizens live together and are governed by a state authority. The rule of law prevails when the terms of the social contract are observed by both citizens and the state authority, when the terms are enforced either by voluntary cooperation or by legal processes and institutions, and when violations of the terms of the contract are punished according to the law. The Rule of Law ensures that individuals are subject to, and treated equally according to the law, and that no one is subject to arbitrary treatment by the state. A rule of law that contributes to the building of sustainable democracy is one that protects basic human rights...[as described above]. It is one in which market based economic activity is enabled, and freely operates. It is one in which the processes and institutions of justice are available to all individuals without prejudice to their origins, religion, political persuasion, race, gender, or creed. A democratic Rule of Law is also one in which the processes and institutions of justice work efficiently and effectively to establish justice and resolve disputes (p.19).*

Current or potential Mission activities in the justice sector include: reform of the commercial code, small claims court, prosecuting, and environmental dispute resolution.

### **Transparency/Information**

As noted earlier, “transparency” and “accountability” must both function for one or the other to be effective. Merriam-Webster’s definition of the word “transparent” helps to distinguish the quality of transparency:

*1 a (1) : having the property of transmitting light without appreciable scattering so that bodies lying beyond are seen clearly.....: b : fine or sheer enough to be seen through : DIAPHONOUS*  
*2 a : free from pretense or deceit : FRANK b : easily detected or seen through : OBVIOUS c : readily understood*  
*synonym see CLEAR*

The Indicators Handbook further describes the specific transparent qualities in transparent government:

*Transparency requires that governments consult broadly to ascertain citizen interests, publicize plans and decisions, share information widely and in good time, and consistently act in an open manner (p.153).*

*In order to formulate interests and participate in policy debates, citizens must have access to a wide range of information. A set of independent and competent media institutions is key to providing citizens with information and to revealing abuses of power. Beyond the formal media, citizens can engage in informal networks of communication, through simple technologies like telephones and photocopiers or the more sophisticated innovations available on the information superhighway. A plural array of private and independent sources of information is extremely difficult for non-democratic governments to control (p.119).*

*Access to information is important because it allows citizens to keep a watchful eye on government behavior. Perhaps even more significantly, it permits citizens to learn about government plans or actions that may be critical to their interests. Therefore, governments need to improve the quantity, quality and timeliness of the information that they make available to citizens and civil society organizations. In particular information about budgets, financial reports, bills, laws, tenders for contracts, recruitment opportunities and government services must be available to the public (p.154).*

Mission programs support both transparent and accountable governance in alternative development target areas, a dimension that also requires work on the national level with Congress and the Ministry of the Presidency. As one might imagine then, overall Mission

support for participatory planning in environment and other sectors also integrates strong efforts to increase transparency in both government and civil society.

### **Advocacy**

Merriam-Webster (2002) defines “advocacy” as: to plead in favor of. The Indicators Handbook complements this definition, by describing why advocacy is important and includes specification of approaches to strengthen it:

*In order for CSOs to intervene effectively in the policy formulation or reform process, they must gain or strengthen the advocacy skills of their organizations. Such skills run the gamut from simply collecting information on the subject at hand to such other tasks as obtaining or allocating human and fiscal resources to advocacy functions, coalition and network building, taking action to influence policy, and monitoring implementation once a policy decision has been made (p.118).*

According to Schimpp and Kite, support for advocacy is most effective when it focuses on advocacy related to key issues. As noted above for “citizen participation,” regional organizations, including those in environment, health, democracy sectors, etc., need substantive local to national linkages in order to be truly effective, be it for service delivery, education, advocacy or some other function. But among those organizations that advocate, Schimpp and Kite also note the continuing need for USAID/Peru to establish priorities among subsectoral advocacy issues. Those considered especially promising continue to include decentralization and local governance, corruption/accountability issues at multiple levels, and increased access to constituency offices for local counterparts to advocate.

One example of local-national CSO linkage includes Mission support for the National Environment Society (SNA) an umbrella organization for smaller NGO networks working on environmental issues in Peru. The Mission’s Environmental Health (EH) activity also supports policy research and promotes the development of feedback loops among communities, CSOs, businesses, and local to national level policy makers in an effort to strengthen EH policy development overall. In still another example of advocacy, SO3 supports health policy research and advocacy among individual local organizations and consortia of organizations.

### **Cross-Cutting Themes in the Synergies Matrix**

#### **Equity/Inclusion and Gender**

This dimension combines several, somewhat distinct but overlapping components: equity, inclusion and gender. The first two variables describe economic, political and social relations among individual citizens in a given population.



*Main Entry: equity*

*1 a : justice according to natural law or right; specifically : freedom from bias or favoritism b : something that is equitable*

*Main Entry: include*

*2 : to take in or comprise as a part of a whole*

In the field of international development we examine both “equity” and “inclusion” for targeted segments of a given population, including those from based on: gender roles, ethnicity, income, rural v. urban residence, etc. These targeted sectors are often referred to as “marginalized” or “disadvantaged” groups. According to the Indicators Handbook:

*A disadvantaged group is defined as any group which, in a given country, has historically been excluded from fair participation in political processes. The implication is that when this result is realized, the interests advocated by women and disadvantaged groups will fully be taken into account in political processes (p.62).*

*Democratic governance implies popular participation, including by disadvantaged social groups, in both public policy-making and its implementation. In this process, civil society performs its classic role of complementing, and sometimes countervailing, the state. By promoting and protecting civil rights, CSOs ensure that citizens have the means to express their preferences, engage in dialogue with policy-makers, and affect decisions in the public realm. After policies have been chosen, CSOs perform as watchdogs of state performance by demanding accountability in the allocation and management of public resources. By performing selected public governance functions, CSOs can also lighten the state’s burden and reduce the concentration of resources (p.117).*

*The expression ‘marginalized populations’ [or disadvantage social group] refer[s] to women, ethnic, and other disadvantaged groups, who in many countries have not been part of the traditional mainstream that has benefited from development efforts. For this reason, these disenfranchised groups have tended not to participate in the political process, nor have they learned the advocacy or monitoring skills needed to represent or safeguard their own interests (p.18).*

As noted, “gender” differences can be one of the bases of inequity and exclusion in a given population. According to the Commission for the Advancement of Women (InterAction/CAW 2000:v.), we must actually distinguish between the concepts of “gender” and “gender equity”:

*Gender—The socially learned roles and responsibilities assigned to women and men in a given culture and the societal structures that support them.*

*Gender Equity—The condition of fairness in relations between women and men, leading to a situation in which each has the equal status, rights, levels of responsibility, and access to power and resources.*

This emphasis on “gender equity” in an increasing number of USAID and Mission Strategies reflects a continuing initiative in USAID to address gender inequities and the exclusion of women from decision making in public and private life. The issue is viewed as a critical human right. In addition, programs promoting gender equity and inclusion are deemed strategic investments for efficient economic growth and development overall, as we are thereby increasing support for strengthening the capacity of a “disadvantaged group” consisting of over half of the world’s population.

Examples of Mission activities with significant impact on issues of equity, inclusion and gender include: rural elections, Defensoria actions against forced enscriptment of indigenous citizens, ADR for the poor. In addition, Mission support for the Coordinadora strengthens organizational development and additional targeted initiatives, such as the campaign against torture. Programs such as ReproSalud, the Microenterprise Support Project (MSP), and Promujer specifically target women and gender issues in their activities.

### **Human Capacity Development**

“Human capacity development” (HCD) empowers individuals and organizations with the requisite knowledge and skill to achieve a more productive and satisfying quality of life. Approaches to build HCD include basic and secondary education and/or training in any given technical sector. According the most recent strategic plan for USAID (2000, paraphrased):

*The development of human capacity enables people to participate effectively in matters affecting their lives. Increasing human capacity through education, training, and improved access to information is essential for sustained social and economic progress.*

- *Basic education—which provides literacy and numeracy, along with problem solving and other core skills—is especially critical to development;*
- *Colleges and universities produce the educated leaders and skilled professionals essential to the development of politically and economically sustainable societies, from the teachers who provide quality basic education to the decision makers and practitioners essential to sustained growth and progress in all sector;*
- *U.S. or in-country or third-country training of host country nationals under each of USAID’s strategic goal areas provides the conceptual, managerial and applied skills needed to advance its objectives in a given country. It expands the capacity of assisted countries to lead and manage their own social and economic progress, by providing the skills and knowledge needed to identify and implement effective policies; to develop and manage results-oriented institutions; and to develop, adapt, and adopt progress-enhancing technologies. Finally, USAID provides international leadership by developing training policy and building local*

*institutional capacity for training programs that promote the sustainability of Agency assistance efforts over the long term;*

- *Broad and equitable access to information and to appropriate information technologies is essential to achieving success in all areas of human capacity development. The technologies range from radio and other traditional means of communication to a wide array of newer technologies for distance learning, such as internet-based and broadcast technologies for learning both in and outside the classroom.*

Examples of Mission activities related to HCD and to democratic processes and institutions include democracy education, i.e., curriculum development for teachers, students, school directors, and parent groups, to address issues relating to citizen rights and responsibilities in a democratic society. Other HCD activities include basic education to address gender inequities, training and technical assistance to strengthen key government institutos (INRENA, CONAM, MOH, MOE), CSOs (S)NA, EH, San Martin Municipal Association, etc) and training for entrepreneurs in targeted economic corridors.

### **Environmental Stewardship**

The following definition of “environmental stewardship” is both simple and elegant:

*“To practice and promote the responsible use of the earth’s ecosystems and resources (Sierra Club 2002).”*

While the USAID Strategic Plan (2000) does not contain such a precise definition, it does address the six focus areas emphasized in USAID environmental programming:

- *Protecting the world’s environment for long-term sustainability;*
- *Improving conservation of biologically significant habitats;*
- *Reducing the threat of global climate change;*
- *Improving the urban population’s access to adequate environmental services;*
- *Increasing the provision of environmentally sound energy sources; and*
- *Promoting sustainable resource management.*

Mission programs to develop and sustain environmental stewardship can be found, not only in SO4, which specifically addresses environmental and natural resource issues, but in several other sectors as well. Economic growth efforts support expanded use of environmentally sound production technology. The alternative development program includes improved forest and natural resource management as part of its program to increase household income from licit activities. And activities to support the Peace Accords with Ecuador, located along the countries’ shared border, similarly promote improved environmentally sounds production practices.